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ABSTRACT

The fourth in a series of seven volumes detailing findings from a national survey of individualized education programs (IEPs) for handicapped children discusses the background and purpose of a substudy focusing on change in IEPs and related factors from the 1977-78 school year to the 1978-79 school year. Two levels of the substudy are examined: change from the prior to the current year in the IEPs and the IEP process; and the extent to which special education services actually provided to handicapped students were similar to those services specified in the IEPs. Changes are noted in the formats and other basic requirements, the kinds of information IEPs contained and method of presentation, personnel involved, types of special education and related services, internal consistency and informativeness in IEPs, and in service settings. Findings from the second level of the substudy are reported, including the degree of parents' familiarity with their children's IEPs. Among major findings are that there were improvements over the year in specificity of information in IEPs, and a definite increase in the participation of related services personnel (in the public schools, but not in private schools). There was very close agreement between the actual special education programs and the programs specified in the IEPs. (CL)

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FINAL REPORT

A NATIONAL SURVEY OF INDIVIDUALIZED EDUCATION PROGRAMS (IEPs) FOR HANDICAPPED CHILDREN

Volume IV

RETROSPECTIVE LONGITUDINAL SUBSTUDY FINDINGS

by

J. Lamarr Cox, Associate Project Director
John N. Pyecha, Project Director

Prepared for

Office of Special Education
Department of Education
under
Contract No. 300-77-0529

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Preface and Acknowledgements

A National Survey of Individualized Education Programs (IEPs) for Handicapped Children, the final report of the research conducted by the Research Triangle Institute under USOE Contract Number 300-77-0529, is presented in five volumes:

Volume I, Executive Summary of Methodology and Major Findings.
Volume II, Introduction, Methodology, and Instrumentation
Volume III, Findings for the Basic Survey.
Volume IV, Findings for the Retrospective Longitudinal Substudy.
Volume V. Findings for the State/Special Facility Substudy.

The authors, in preparing Volume IV of this report, wish to express their special appreciation for the cooperation and contributions of a number of people, both within and outside the Research Triangle Institute (RTI).

Valuable professional guidance was provided throughout the study by Drs. Linda Morra and Nancy Safer, Office of Special Education. Dr. Morra served as the OSE Project Officer during the design and data collection phases of the study; Dr. Safer served as the Project Officer during the report preparation phase.

The following persons made contributions to the sample design, data collection, data analysis, and report preparation activities of the Retrospective Longitudinal Substudy:

Mr. Walter Creekmore (University of North Carolina at Chapel Hill): Level 2 Substudy site visits
Dr. Douglas Drummond: Sample Design
Dr. Anne Hocutt (University of North Carolina at Chapel Hill): Level 2 Substudy site visits and report review
Mr. Jay Jaffe: Data analysis
Ms. Carolee Lane: Data analysis
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Ms. Anna Ver Steeg: Data analysis

Ms. Lucia Ward: Data analysis

Dr. Ronald Wiegerink (University of North Carolina at Chapel Hill): Level 2 Substudy site visits and report review

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Table of Contents

Page

Chapter 1. Introduction 1.1
I. GENERAL 1.1
II. BACKGROUND AND PURPOSE 1.1
A. Level 1 Retrospective Longitudinal Substudy 1.2
B. Level 2 Retrospective Longitudinal Substudy 1.3
C. Organization of the Remainder of Volume IV 1.4

Chapter 2. Level 1 Retrospective Longitudinal Substudy Findings 2.1
I. INTRODUCTION 2.1
A. Description of the Sample 2.1
B. Guidelines Used to Determine Educational and Statistical Significance 2.1
C. Overview of the Balance of the Chapter 2.4
II. CHANGE FROM PRIOR YEAR TO CURRENT YEAR IN THE FORMATS AND OTHER BASIC CHARACTERISTICS OF IEPs 2.5
A. Frequency Distribution of IEPs by the Number of Pages They Contained 2.5
B. Proportion of IEPs that Were Legible and Reasonably Easy to Read 2.5
C. Proportion of IEPs that Contained Specific Headings . . . 2.6
D. Proportion of IEPs that Limited the Number of Annual Goals or Short-Term Objectives 2.8
E. Proportion of IEPs in Which the Format Restricted the Portion of the IEP Presented for Parental Approval 2.8
F. Proportion of IEPs that Consisted of Separate IEPs from Different Teachers or Service Sources, or of a Placement Document and an Implementation Document 2.9
III. CHANGE FROM PRIOR YEAR TO CURRENT YEAR IN KINDS OF INFORMATION IEPs CONTAINED AND IN HOW THIS INFORMATION WAS PRESENTED . . . 2.10
A. Change in What Mandated Information Was Contained in IEPs and in How This Information Was Presented 2.10
B. Change in What Nonmandated Information Was Contained in IEPs and How This Information Was Presented 2.19
IV. CHANGE FROM PRIOR TO CURRENT YEAR IN WHO PARTICIPATED IN THE DEVELOPMENT AND APPROVAL OF IEPs 2.21
V. CHANGES IN THE TYPES OF SPECIAL EDUCATION AND RELATED SERVICES SPECIFIED IN IEPs 2.22
A. Changes in Need Statements, Goals, and Objectives 2.22
B. Changes in Related Services 2.23

Table of Contents (continued) Page

VI. CHANGE FROM PRIOR TO CURRENT YEAR IN INFORMATIVENESS AND INTERNAL CONSISTENCY OF IEPs 2.23

VII. CHANGE FROM THE PRIOR YEAR TO THE CURRENT YEAR IN SERVICE SETTINGS AND PROPORTION OF TIME IN SERVICE SETTINGS 2.24

Chapter 3. Level 2 Retrospective Longitudinal Substudy Findings 3.1

I. METHODOLOGY AND DESCRIPTION OF THE SAMPLE 3.1
- A. Survey Methodology 3.1
- B. Description of the Sample 3.2
- C. Overview of the Balance of the Chapter 3.5

II. SPECIAL EDUCATION SERVICES PROVIDED AS COMPARED TO SERVICES SPECIFIED IN IEP 3.5
- A. Assessment of Present Levels of Education Performance . . 3.5
- B. Special Education and Related Services Provided 3.14
- C. Annual Goals and Short-Term Objectives 3.18
- D. Comparison of Prior Year Services with Prior Year IEPs . . 3.26
- E. Summary of Comparison of Actual Programs with Programs as Documented in the IEPs 3.29

III. DEGREE OF PARENTS' FAMILIARITY WITH THEIR CHILDREN'S IEPs . . . 3.29
- A. General Information 3.29
- B. Extent to Which Parent Was Aware That Student Had an IEP . 3.30
- C. Degree of Parental Familiarity with the Content of the Student's IEP 3.30
- D. Extent to Which Parents Agree that Their Children's IEPs Were Appropriate 3.32
- E. Extent to Which Parents Considered that Their Children Were Receiving Services Specified on IEPs 3.34
- F. Other Parent Comments 3.34
- G. Summary Statement of Parental Familiarity with the IEP . . 3.35

IV. ADDITIONAL LEVEL 2 SUBSTUDY FINDINGS 3.35
- A. Procedure by Which a Student Typically Is Identified as Handicapped 3.36
- B. How IEPs Typically Are Developed, Reviewed, and Revised . 3.36
- C. Parent and Student Role in the IEP Process 3.39
- D. Relationship Between Available Resources and Needed Resources 3.39
- E. Additional Observations 3.39

Table of Contents (continued)

Page

Chapter 4: Major Findings and Implications 4.1

I. MAJOR FINDINGS OF THE LEVEL I SUBSTUDY 4.1

- A. What Do IEPs Look Like? 4.1
- B. What Kinds of Information Do IEPs Contain? 4.1
- C. How Is Information Presented in IEPs? 4.1
- D. Who Participates in the Development and Approval of IEPs? 4.2
- E. What Types of Special Education and Related Services Are Specified in IEPs? 4.2
- F. How Informative and Internally Consistent Are IEPs? . . . 4.2
- G. In What Service Settings, and for What Proportion of the Academic Week, Do Students Receive the Special Education Services Specified in IEPs? 4.2

II. MAJOR FINDINGS OF THE LEVEL 2 SUBSTUDY 4.3

- A. What Is the Nature of the Special Education and Related Services that Students in the Subsample Actually Received? 4.3
- B. How Do the Services Actually Received Compare with Those Specified in the Student's IEP? 4.3
- C. How Knowledgeable Are Parents (Guardians) About the IEPs of Their Children (Wards)? 4.4
- D. What Personnel Provide What Proportion of the IEP Development Effort? 4.4

III. CONCLUSIONS AND IMPLICATIONS 4.5

Appendix A. Supporting Data for Chapter 2

Appendix B. Level 2 Substudy Protocol

List of Tables

Table Page

2.1 DISTRIBUTION OF STUDENTS IN LEVEL 1 SAMPLE BY RACE, SEX, AGE, GRADE, AND HANDICAPPING CONDITION 2.2

2.2 DIFFERENCE, FROM PRIOR YEAR TO CURRENT YEAR, IN DISTRIBUTION OF IEPs ACROSS CATEGORIES OF READABILITY, BY REGULAR AND SPECIAL SCHOOLS 2.6

2.3 DIFFERENCE, FROM PRIOR YEAR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs THAT LIMITED THE SPACE FOR ANNUAL GOALS OR FOR SHORT-TERM OBJECTIVES, BY REGULAR AND SPECIAL SCHOOLS . . . 2.8

2.4 DIFFERENCE, FROM PRIOR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs WITH VARIOUS FORMATS AS RELATED TO PARENTAL APPROVAL 2.9

2.5 DIFFERENCE, FROM PRIOR YEAR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs BY DEGREE OF SPECIFICITY OF THE STATEMENT OF BEGINNING DATES OF SERVICE AS CONTAINED IN IEPs, BY REGULAR AND SPECIAL SCHOOLS 2.17

2.6 DIFFERENCE, FROM PRIOR YEAR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs BY DEGREE OF SPECIFICITY OF THE STATEMENT OF EVALUATION PROCEDURES FOR THE SHORT-TERM OBJECTIVES, BY REGULAR AND SPECIAL SCHOOLS 2.18

2.7 DIFFERENCE, FROM PRIOR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs BY DEGREE OF SPECIFICITY OF THE STATEMENT OF THE EVALUATION SCHEDULE FOR EVALUATING SHORT-TERM OBJECTIVES AS CONTAINED IN IEPs, BY REGULAR AND SPECIAL SCHOOLS 2.19

2.8 DIFFERENCE, FROM PRIOR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs BY DEGREE TO WHICH IEP INDICATED THAT AN ANNUAL EVALUATION OF SHORT-TERM OBJECTIVES WAS REQUIRED, BY REGULAR AND SPECIAL SCHOOLS 2.20

2.9 DIFFERENCE, FROM PRIOR TO CURRENT YEAR, IN PROPORTION OF IEPs THAT SHOWED EVIDENCE OF PARTICIPATION BY VARIOUS CATEGORIES OF PERSONNEL 2.21

3.1 LOCATION OF SAMPLE SCHOOLS 3.2

3.2 SAMPLE STUDENT AGE DISTRIBUTION 3.3

3.3 SAMPLE STUDENT GRADE DISTRIBUTION 3.3

3.4 SAMPLE STUDENT RACE DISTRIBUTION 3.3

3.5 SAMPLE STUDENT HANDICAPPING CONDITION DISTRIBUTION 3.4

3.6 GENERAL ASSESSMENT CATEGORIES AND SPECIFIC INSTRUMENTS OR TECHNIQUES TYPICALLY USED FOR EACH 3.7

3.7 NUMBER OF STUDENTS RECEIVING EACH CATEGORY OF ACADEMIC ASSESSMENT 3.8

3.8 DISTRIBUTION OF STUDENTS BY NUMBER OF ACADEMIC ASSESSMENT CATEGORIES 3.8

List of Tables (continued) Page

3.9 NUMBER OF STUDENTS RECEIVING EACH CATEGORY OF FUNCTIONAL ASSESSMENT 3.8

3.10 DISTRIBUTION OF STUDENTS BY NUMBER OF FUNCTIONAL ASSESSMENT CATEGORIES 3.9

3.11 CURRENCY OF ASSESSMENTS OF PRESENT LEVELS OF FUNCTIONING . . . 3.9

3.12 NUMBER OF STUDENTS HAVING NEEDS, NUMBER NOT HAVING NEEDS, AND NUMBER HAVING BOTH STRENGTHS AND WEAKNESSES IN EACH ACADEMIC AND FUNCTONAL AREA 3.10

3.13 ACTUAL ASSESSMENTS COMPARED WITH ASSESSMENTS SPECIFIED IN THE IEPs 3.12

3.14 EXTENT TO WHICH IEPs INCLUDED A HEADING REQUESTING DATA TO SUPPORT THE STATEMENT OF PRESENT LEVEL OF FUNCTIONING, AND THE EXTENT TO WHICH SUCH DATA WERE PROVIDED 3.12

3.15 EXTENT TO WHICH IEPs INCLUDED A HEADING REQUESTING ASSESSMENT DATES, AND THE EXTENT TO WHICH SUCH DATES WERE PROVIDED 3.13

3.16 PLACEMENT FOR SPECIAL EDUCATION 3.15

3.17 HOURS PER WEEK IN SPECIAL EDUCATION SETTING 3.15

3.18 RELATED SERVICES PROVIDED 3.16

3.19 BEGINNING DATES OF SPECIAL EDUCATION SERVICES 3.16

3.20 ENDING DATES OF SPECIAL EDUCATION SERVICES 3.17

3.21 NUMBER OF SPECIAL EDUCATION PROGRAMS HAVING ANNUAL GOALS IN VARIOUS ACADEMIC AND FUNCTIONAL AREAS 3.19

3.22 COMPARISON OF ACTUAL PROGRAM GOALS WITH GOALS LISTED IN IEPs . 3.19

3.23 COMPARISON OF LEVEL OF SPECIFICITY OF SHORT-TERM OBJECTIVES . . 3.22

3.24 EVALUATION SCHEDULES FOR SHORT-TERM OBJECTIVES 3.24

3.25 SOURCES OF EVALUATION SCHEDULE DATA 3.24

3.26 COMPARISON OF PRIOR YEAR SERVICES WITH PRIOR YEAR IEPs 3.27

3.27 NUMBER OF PRIOR YEAR IEPs THAT FAILED TO PROVIDE VARIOUS TYPES OF DATA, AND THE NUMBER OF THESE IEPs THAT DID NOT INCLUDE A HEADING REQUESTING THE DATA 3.28

3.28 DEGREE OF PARENTAL FAMILIARITY WITH THE CONTENT OF THE IEP; BASED ON PARENT STATEMENTS 3.30

3.29 TEACHER'S PERCEPTION OF DEGREE OF PARENTAL FAMILIARITY WITH THE CONTENT OF THE IEP 3.31

3.30 DEGREE OF PARENTAL FAMILIARITY WITH THE CONTENT OF THE IEP; PARENT STATEMENTS SUPPLEMENTED BY TEACHER PERCEPTION 3.31

3.31 RELATIONSHIPS BETWEEN PARENTAL FAMILIARITY WITH CONTENTS AND DEGREE OF PARTICIPATION IN IEP PROCESS 3.32

3.32 EXTENT TO WHICH PARENTS AGREED THAT THE IEP WAS APPROPRIATE; BASED ON PARENT STATEMENTS 3.33

List of Tables (continued) Page

3.33 EXTENT TO WHICH PARENTS AGREED THAT THE IEP WAS APPROPRIATE; PARENT STATEMENTS SUPPLEMENTED BY TEACHER PERCEPTION 3.33

3.34 PERSONNEL WHO PREPARED IEPs 3.37

3.35 EXTENT OF INPUT TO PREPARATION OF IEP BY TEACHER(S) WHO PROVIDED THE SPECIAL EDUCATION 3.37

3.36 EXTENT OF INPUT TO PREPARATION OF IEP BY THE STUDENTS' PARENT(S) 3.38

3.37 OTHER PERSONNEL WHO CONTRIBUTED 25 PERCENT OR MORE TO PREPARATION OF THE IEP 3.38

List of Figures

Figure		Page
2.1	Change from Prior Year to Current Year in Percentage of IEPs with Specific Headings	2.7
2.2	Percent of IEPs with Information Mandated by P.L. 94-142	2.11
2.3	Cumulative Percentages of IEPs by Number of Mandated Information Areas Contained in IEPs	2.12
3.1	Reducing a General Learning Objective to More Specific Objectives	3.21

Chapter 1

Introduction

I. GENERAL

The National Survey of Individualized Education Programs (IEPs) for Handicapped Children was conducted in the spring of 1979 by the Research Triangle Institute (RTI) under contract to the Bureau of Education for the Handicapped (now the Office of Special Education within the Department of Education), USOE. The methodology and findings of this national survey, which consisted of a Basic Survey and two companion substudies, are described in five volumes. Volume I is an executive summary of the survey methodology and findings; Volume II describes the background, objectives, methodology, and instrumentation; Volume III presents the findings of the Basic Survey; and Volume V presents the findings of the State/Special Facility Substudy. This volume, Volume IV, presents the findings of the Retrospective Longitudinal Substudy.

This chapter provides the background and purpose of the substudy and describes the organization of Volume IV.

II. BACKGROUND AND PURPOSE

While the Basic Survey described in Volume III focused on describing IEPs and various factors related to IEPs for the current year (the 1978-79 school year), the Retrospective Longitudinal Substudy focused on change in IEPs and related factors from the prior year (the 1977-78 school year, the initial year for which IEPs were mandated by P.L. 94-142) to the current year (the 1978-79 school year). The substudy consisted of two distinct activities intended to address specific questions regarding change over time. The Level 1 Retrospective Longitudinal Substudy was designed to detect change from the prior year to the current year in the IEPs and the IEP process. The Level 2 Retrospective Longitudinal Substudy was designed to provide information regarding the extent to which special education services actually provided to handicapped students were smiliar to those services specified in the IEPs. Further details of the background and purpose of those two levels of the substudy are provided separately below.

A. Level 1 Retrospective Longitudinal Substudy

As was discussed in Volumes II and III, the Basic Survey of the National Survey of Individualized Education Programs (IEPs) for Handicapped Children primarily focused on describing the properties and content of a national sample of IEPs prepared for students, ages 3-21, who were enrolled in LEA-administered public schools on 1 December 1978. As secondary objectives, the Basic Survey included the identification of factors associated with variations in the properties and content of IEPs, the provision of descriptive information about the handicapped students being served as required by P.L. 94-142, the nature of the services they received and the settings in which the services were provided, and the process whereby their IEPs were developed. The Level 1 Retrospective Longitudinal Substudy was designed as an exploratory substudy to provide insights into change over time in all of the above factors. As such, the Level 1 Substudy should lay the groundwork for future studies to assess progress relative to enhancing the utility of IEPs and implementing the mandates of P.L. 94-142.

The Basic Survey was designed to answer ten general questions. Seven of these questions are pertinent to the Level 1 Retrospective Longitudinal Substudy, and are repeated here for the convenience of the reader.

Question 1: What do IEPs look like?

Question 2: What kinds of information do IEPs contain?

Question 3: How is information presented in IEPs?

Question 4: Who participates in the development and approval of IEPs?

Question 5: What types of special education and related services are specified in IEPs?

Question 6: How informative and internally consistent are IEPs?

Question 7: In what service settings, and for what proportion of the academic week, do students receive the special education services specified in IEPs?

The specific question addressed by the Level 1 Retrospective Longitudinal Substudy was: "What is the difference between two consecutive school years in the answers to Basic Survey Questions 1-7 above for the same students?" To obtain data to answer the substudy question, the IEP from the preceeding year (the 1977-78 school year) was collected and analyzed along with the IEP for the current year (the 1978-79 school year) for each of the 796 students in the subsample. Collection of data at each school was completed in conjunction with the Basic Survey, including completion of a Student Characteristics Questionnaire by the special education teacher from the preceeding year, provided he or she was still in the school system. As was previously noted, the 1977-78 school year was the initial year for which IEPs were mandated by P.L. 94-142; thus, the Level 1 Substudy provided information regarding change from this initial year to the following year when schools and school districts presumably had clearer insights into the requirements of the Act and how these requirements might be met.

B. Level 2 Retrospective Longitudinal Substudy

The primary purpose of the Level 2 Retrospective Longitudinal Substudy was threefold: (1) to describe the special education and related services actually received by handicapped students; (2) to compare this special education program as actually implemented with the special education program as documented in the IEP; and (3) to determine the nature of and reasons for any discrepancies between the two. This exploratory substudy was intended to supplement other data collected in the National Survey of IEPs for Handicapped Children, and was conducted with a subsample of 61 students from the Basic Survey sample. The findings provide an indication of the validity of the information obtained from IEPs in the Basic Survey about the types and service settings of the special education services received by handicapped students.

The specific objective of the Level 2 Substudy was to provide answers to the following research questions:

1) What is the nature of the special education and related services that students in the subsample actually received?
    a) How was the present level of educational service determined?
    b) What special education services were received during each of two consecutive years?
    c) What related services were received during each of two consecutive years?
    d) In what setting were these services received during each of two consecutive years?
2) How do the special education services actually received by students in the subsample compare to those services specified in the students' IEPs?

   - a) How does the assessment process applied compare with that specified in IEPs, for each of two consecutive years?
   - b) How do special education services received compare to those specified in IEPs, for each of two consecutive years?
   - c) How do the related services received compare to those specified in IEPs, for each of two consecutive years?
   - d) How do the settings where services were received compare to those specified in IEPs, for each of two consecutive years?
   - e) How do procedures for evaluating attainment of instructional goals and objectives compare to those specified in IEPs, for each of two consecutive years?
   - f) What are the reasons for any differences between services actually received and services specified in IEPs, for each of two consecutive years?

3) How knowledgeable are parents (guardians) about the IEPs of their children (wards)?
   - a) Are parents aware that their children have IEPs?
   - b) How familiar are parents with their children's IEPs?
   - c) To what extent do parents agree that their children's IEPs are appropriate for meeting their children's needs?
   - d) To what extent do parents feel that their children are receiving all of the services specified in their IEPs?

4) What personnel provide what proportion of the IEP development effort?

C. Organization of the Remainder of Volume IV

Chapter 2 of this volume describes the Level 1 Substudy sample, discusses the guidelines used to determine educational and statistical significance of the data, and presents the findings of the substudy. Chapter 3 summarizes the Level 2 Substudy methodology, describes the sample, and presents the findings of the substudy. Chapter 4 provides a summary of major findings of the Retrospective Longitudinal Substudy and discusses the major implications of the findings.

Appendix A contains supporting tables and other information for Chapter 2. Appendix B contains supporting information for Chapter 3.

Chapter 2

Level 1 Retrospective Longitudinal Substudy Findings

I. INTRODUCTION

This section describes the Level 1 Retrospective Longitudinal Substudy sample, discusses the guidelines used to determine the educational and statistical significance of the Level 1 Substudy data, and presents an overview of the remainder of the chapter.

A. Description of the Sample

The initial sampling plan for the Level 1 Substudy was to randomly select one of the Basic Survey sample members from each of the 507 schools that participated in the Basic Survey. However, since a student would not be eligible for the Level 1 subsample if his or her prior year IEP was not available, there was some concern that the desired subsample of 507 students could be obtained. As a result, a decision was made to select up to two Basic Survey members from each school. Actually one or more students were selected from 432, or 85 percent, of the 507 schools in the Basic Survey. The resultant subsample of 796 students included 675 regular school students (from 368 regular schools) and 121 special school students (from 64 special schools).

As noted previously, the Retrospective Longitudinal Substudy was designed as an exploratory substudy to lay the groundwork for future studies of progress in implementing the IEP mandates of P.L. 94-142. However, the Level 1 Substudy sample was of sufficient size to detect shifts of reasonable magnitude in the properties and contents of IEPs from one year to the next.

The general characteristics of students in the Level 1 sample (e.g., student grade level, age, race, sex, nature of handicap) were basically identical to those of the Basic Survey sample. These characteristics, for the Level 1 substudy, are as shown in Table 2.1.

B. Guidelines Used to Determine Educational and Statistical Significance

Most of the analyses to support the results discussed in this chapter focus on differences between the estimated population measures (means and proportions) of a given characteristic or property of IEPs prepared for students

Table 2.1

DISTRIBUTION OF STUDENTS IN LEVEL 1 SAMPLE BY RACE, SEX, AGE, GRADE, AND HANDICAPPING CONDITION

Student Characteristics	Percent
Race	
White, Not Hispanic	72
Black, Not Hispanic	21
Hispanic	4
Other	3
Sex	
Male	62
Female	38
Age Levels	
3-5	2
6-12	60
13-15	25
16-21	13
Grade[a]	
Pre-K or K	2
1-3	25
4-6	24
7-9	22
10-12	10
Ungraded/Undetermined	16
Handicapping Conditions[b]	
Mentally Retarded	33
Learning Disabled	42
Emotionally disturbed	7
Speech Impaired	26
Deaf and hard of Hearing	3
Orthopedically Impaired	3
Visually Handicapped	1
Other Health Impaired	6

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[a] Detail does not add to total because of rounding.

[b] Percents total more than 100 because some students have multiple conditions.

for two consecutive years. As originally conceived, the Level 1 Retrospective Longitudinal Substudy was intended to detect broad shifts in the properties and contents of IEPs from the prior year to the current year. Changes on the order of 10 to 25 percentage points were expected to be noted. In general, however, changes of this magnitude did not occur. Fortunately, the increased size of the Level 1 sample provided sufficient precision for detecting changes on the order of five to ten percentage points for the total sample and for the subsample of regular school students.

As stated in Chapter 7 of the Methodology Report, a determination of the importance of certain study findings is a matter of judgement. In making this judgement, consideration must be given to both the practical importance (educational significance) of observed difference and the probability that observed differences were due to chance sampling errors (statistical significance). To the extent practical, these guidelines were followed in the reporting of data for the Level 1 Substudy. However, since the differences between the prior-year and current-year data typically were small, the question of what data to report was more of an issue than was the question of what data to exclude. If the original ten or more percentage points difference had been used to determine educational significance, practically no data would have been reported. As a result, a decision was made to establish a difference of at least five percentage points as being reasonably educationally significant and to report such findings without respect to the relative importance of the issues involved. Observed differences of this magnitude for the total Level 1 sample, as well as for the subsample of regular school students, were significant at the .05 level; i.e., a sample difference of this magnitude can be expected to occur in repeated samplings only five times in a hundred if the actual difference is zero.

This five-percentage-point criterion is not applicable to the special school subsample. Because of the small size of this subsample, none of the observed differences were statistically significant. However, findings for the special school subsample are delineated in the tabular presentations because of their usefulness in interpreting differences in the total sample.

The reader is reminded that the differences reported in this chapter are based on data that describe the IEPs prepared for the same students for two consecutive years. Therefore, a high correlation exists between the characteristics and properties of these IEPs from one year to the next. If the reader wants to establish different criteria for educational and/or statistical significance, the formula for the independent t-test (see Chapter 7, Volume III) will give a reasonably good approximation of the standard error of the difference if the standard error computed by this formula is reduced by 25 percent to adjust for the correlation between the data. This relationship was derived by comparing the standard errors that were computed for a small sample of difference scores by both methods (i.e., the formula appropriate for independent measures and the formula appropriate for correlated measures).

C. Overview of the Balance of the Chapter

The balance of this chapter presents answers to the questions regarding change from the prior year (1977-78) to the current year (1978-79) in IEPs, services and service settings, and the IEP process. Section II addresses change in the formats and other basic characteristics of IEPs, Section III discusses change in the kinds of information presented in IEPs and how this information is presented, Section IV addresses the question regarding change in the completeness and internal consistency of IEPs, Section V discusses change regarding participants in the development and approval of IEPs, Section VI presents information about change in the types of special education and related services specified in IEPs, and Section VII discusses change in service settings and proportion of student time spent in service settings. Complete data, with associated standard errors, are presented in Appendix B.

The proportions, means, and other statistics presented and discussed in this chapter are population estimates based on weighted sample data. These estimates are presented and discussed as though they are precise population values. These values are reported to the nearest tenth of a whole number in Appendix A, and they are rounded to the nearest whole number for the text discussions.[1]

These sections present data for the total of all students in the sample, for students in regular schools only, and for students in special schools only.

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[1] Note in rounding that if the first digit to be dropped is 5, the last digit retained is increased by 1 if it is odd but is kept unchanged if it is even; for example, 7.5 becomes 8 and 6.5 becomes 6. [National Center for Education Satistics, NCES guidelines for tabular presentation. Washington, D.C.: National Center for Education Statistics (USOE, HEW), August 1974.]

It should be noted that, in the balance of the chapter, the current year data often differ slightly from similar data presented for the Basic Survey in Volume III. This is because the Level 1 Retrospective Longitudinal Substudy sample was a subsample of the Basic Survey sample and included only students for whom a prior year IEP was available; thus, some differences would be expected. These differences generally are small and in no case are they statistically significant.

II. CHANGE FROM PRIOR YEAR TO CURRENT YEAR IN THE FORMATS AND OTHER BASIC CHARACTERISTICS OF IEPs

This section presents survey findings regarding change from the prior year to the current year in the formats and other basic characteristics of IEPs. More specifically, it focuses on change in (a) the number of pages IEPs contained, (b) whether or not IEPs were legible and easy to read, (c) the types of headings they contained, (d) whether or not their formats limited the number of annual goals or short-term objectives, (e) the extent to which their formats restricted the portion of the IEP presented for parental approval, and (f) whether or not IEPs consisted of multiple documents?

A. Frequency Distribution of IEPs by the Number of Pages They Contained

Though not of sufficient magnitude to be statistically significant, there was some indication of an increased number of pages in the current year IEPs.

The medium number of pages increased from 3 to 4 while the mean number of pages increased from 4.7 to 5.3. This suggestion of possible change occurred for regular schools only. No change was noted in the number of pages in IEPs prepared for students in special education schools.

More complete data, including associated standard errors, are provided in Table A.1 of Appendix A.

B. Proportion of IEPs that Were Legible and Reasonably Easy to Read

The overall change in the proportion of IEPs that were legible and reasonably easy to read was relatively small with the proportion of handwritten IEPs increasing by 4.6 percentage points while the proportion of typed IEPs decreased by 3 percentage points. Table 2.2 indicates one notable change in the proportion of IEPs that were typed as opposed to handwritten. While there was a 5.3

Table 2.2

DIFFERENCE, FROM PRIOR YEAR TO CURRENT YEAR, IN DISTRIBUTION OF IEPs ACROSS CATEGORIES OF READABILITY, BY REGULAR AND SPECIAL SCHOOLS
(In percentage points)

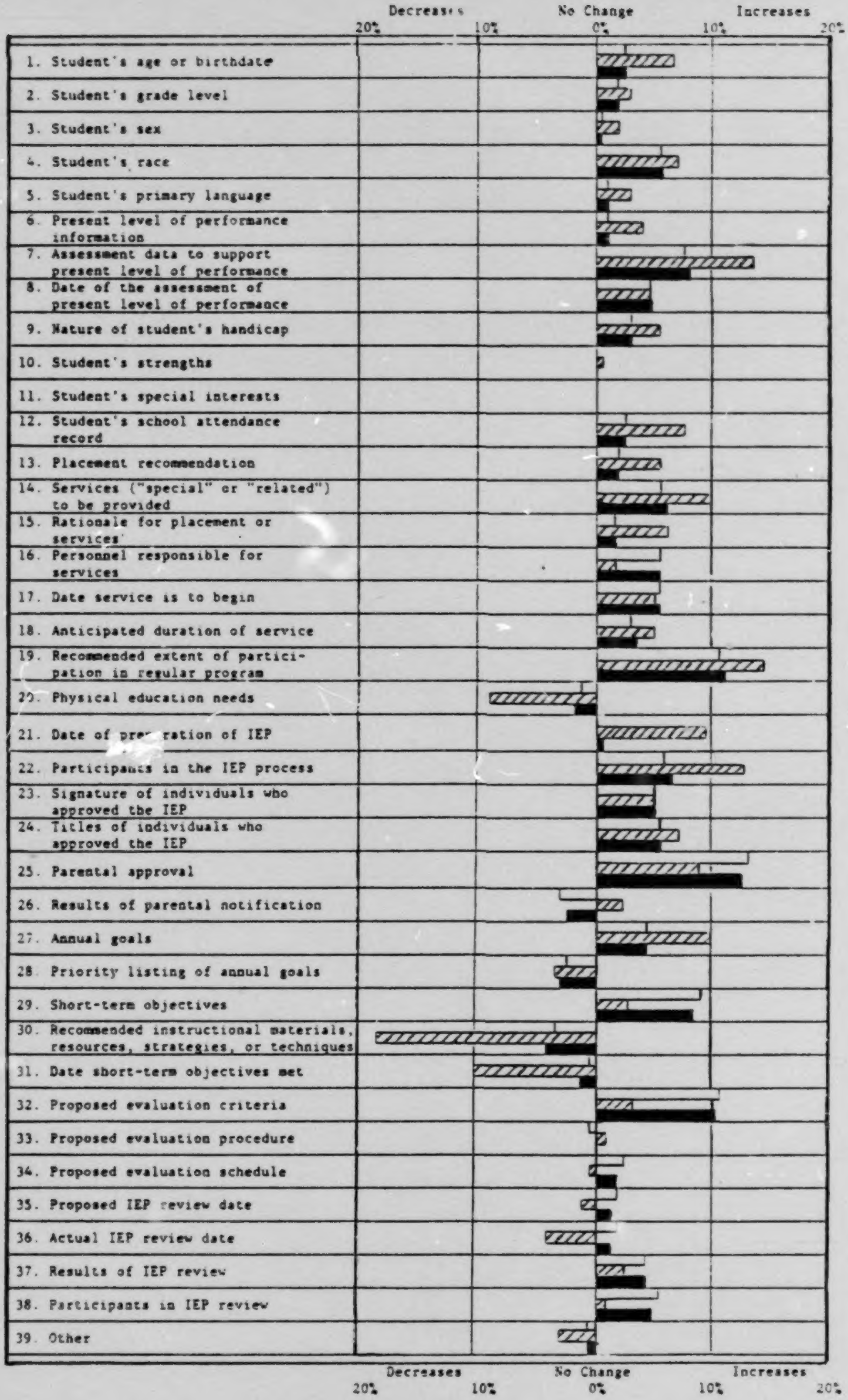
	Difference from Prior Year to Current Year		
Category of Legibility	Regular School	Special School	Total
1. IEP Typed and Legible	-3.8	+9.7	-3.0
2. IEP Handwritten, But Easy to Read	+5.3	-7.7	+4.6
3. IEP Handwritten, and Difficult To Read	-0.8	-1.9	-0.9

percentage point increase in the proportion of regular school IEPs that were handwritten, special education schools showed an opposite change by increasing (by 9.7 percentage points) the proportion of IEPs that were typed as opposed to handwritten. This change also is reflected in the 7.7 percentage point reduction in the proportion of handwritten but easy to read special school IEPs. It should be noted that these data for special schools are not statistically significant. Another interesting detail is that for no student in the substudy sample was his or her IEP for both years difficult to read.

Table A.2 in Appendix A provides associated standard errors for the data from which the above were derived.

C. Proportion of IEPs that Contained Specific Headings

Figure 2.1 portrays the amount of change from the prior year to the current year in the percentage of IEPs that contained specific headings. While the amount of change and the number of cases involved generally was too small to make inferences about any specific heading, a definite move toward increasing the number of specific headings on IEPs was indicated. More complete information is included in Table A.3.



☐ = Regular School ▨ = Special School ■ = Total

NOTE: Where no bars are shown, no change occurred.

Figure 2.1. Change from Prior Year to Current Year in Percentage of IEPs with Specific Headings.

D. Proportion of IEPs that Limited the Number of Annual Goals or Short-Term Objectives

No significant differences between the prior year and the current year IEPs of students in all three populations (regular schools, special schools, and total schools) were noted with respect to the existence of formats that limited the number of annual goals. However, a slight improvement (7.7 percentage points) was noted in providing IEP formats that did not limit the number of short-term objectives. This improvement took place in both regular school and special school IEPs. These data are presented in Table 2.3. Associated standard errors are provided in Table A.4.

Table 2.3

DIFFERENCE, FROM PRIOR YEAR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs THAT LIMITED THE SPACE FOR ANNUAL GOALS OR FOR SHORT-TERM OBJECTIVES, BY REGULAR AND SPECIAL SCHOOLS
(In percentage points)

	Difference from Prior Year to Current Year		
Formats That Limited The:	Regular Schools	Special Schools	Total
Number of Annual Goals	+1.9	+3.8	+2.1
Number of Short-Term Objectives	-7.9	-5.3	-7.7

E. Proportion of IEPs in Which the Format Restricted the Portion of the IEP Presented for Parental Approval

As is shown in Table 2.4, there was no significant change in the proportion of IEPs for which parental approval would have been for the entire IEP. However, the data regarding the provision of a space in the IEP format for parental approval or disapproval showed that the proportion of IEPs that did not have a place for parental approval decreased by seven percentage points. The proportion of IEPs for which parental approval would have been for the annual goals but not for the short-term objectives increased by five percentage points. Associated standard errors are provided in Table A.5. No differences were noted in IEPs from regular schools as compared with IEPs from special schools.

Table 2.4

DIFFERENCE, FROM PRIOR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs WITH VARIOUS FORMATS AS RELATED TO PARENTAL APPROVAL
(In percentage points)

Format Classification	Differences from Prior Year to Current Year
Approval (or disapproval) would have been for the entire IEP	+1.0
Approval (or disapproval) would have been for annual goals but not for short-term objectives	+5.0
Approval (or disapproval) would have been for part but not all of the short-term objectives	-1.1
Approval (or disapproval) would have been for services to be provided but not for annual goals or short-term objectives	+2.8
Approval (or disapproval) would have been for some portion of the IEP, but could not determine what would have been approved	-0.7
No place for approval or disapproval was provided	-7.0

F. Proportion of IEPs that Consisted of Separate IEPs from Different Teachers or Service Sources, or of a Placement Document and an Implementation Document

Only a very small percentage of prior year IEPs (1.1 percent with a standard error of 0.5) consisted of separate IEPs from different teachers or service sources. This percentage doubled for the current year to 2.4 percent (with a standard error of 0.9). This change is not statistically significant; neither is the similar change in regular school IEPs. The change in special schools, however, was considerably greater, from 1.3 percent (with a standard error of 0.9) for the prior year to 6.3 percent (with a standard error of 3.1) for the current year. While not statistically significant, these suggestions of changes likely reflect expanding services to handicapped students and provision of services by more than one teacher for a particular student.

No differences were noted in the percentage of IEPs that consisted of a placement document and an implementation document.

III. CHANGE FROM PRIOR YEAR TO CURRENT YEAR IN KINDS OF INFORMATION IEPs CONTAINED AND IN HOW THIS INFORMATION WAS PRESENTED

This section discusses change from the prior year to the current year in the kinds of information contained in IEPs and in the manner in which this information was presented. For purposes of this discussion, the contents of IEPs have been separated into two broad categories: (a) the 11 information items mandated by Section 602 of P.L. 94-142, and (b) information not mandated by P.L. 94-142.

A. Change in What Mandated Information Was Contained in IEPs and in How This Information Was Presented

This subsection first provides data on change in the extent to which mandated information was presented in IEPs, and then presents data on changes in how this mandated and other closely-related information was presented.

1. Extent to Which Mandated Information was Provided

As is portrayed in Figure 2.2, there was significant improvement from the prior to the current year in the extent to which several of the 11 items of information mandated by the Act were included in IEPs. In particular, a larger proportion of current year IEPs included short-term objectives, proposed evaluation criteria, evaluation procedures, proposed evaluation schedules, and assurances of at least an annual evaluation.

In general, these improvements occurred in IEPs from both regular and special schools. One notable exception was the inclusion of evaluation criteria for determining whether instructional objectives were being met. While the proportion of regular school IEPs that included this type of information increased by 9 percentage points, the proportion of special education school IEPs with this information did not increase. Additional data and associated standard errors are included as Table A.6.

The improvements suggested above also are reflected in Figure 2.3. Additional data and associated standard errors are presented in Table A.7. Although the increase of 4.4 percentage points in the proportion of IEPs that included all 11 of the mandated items of information is not significant, this

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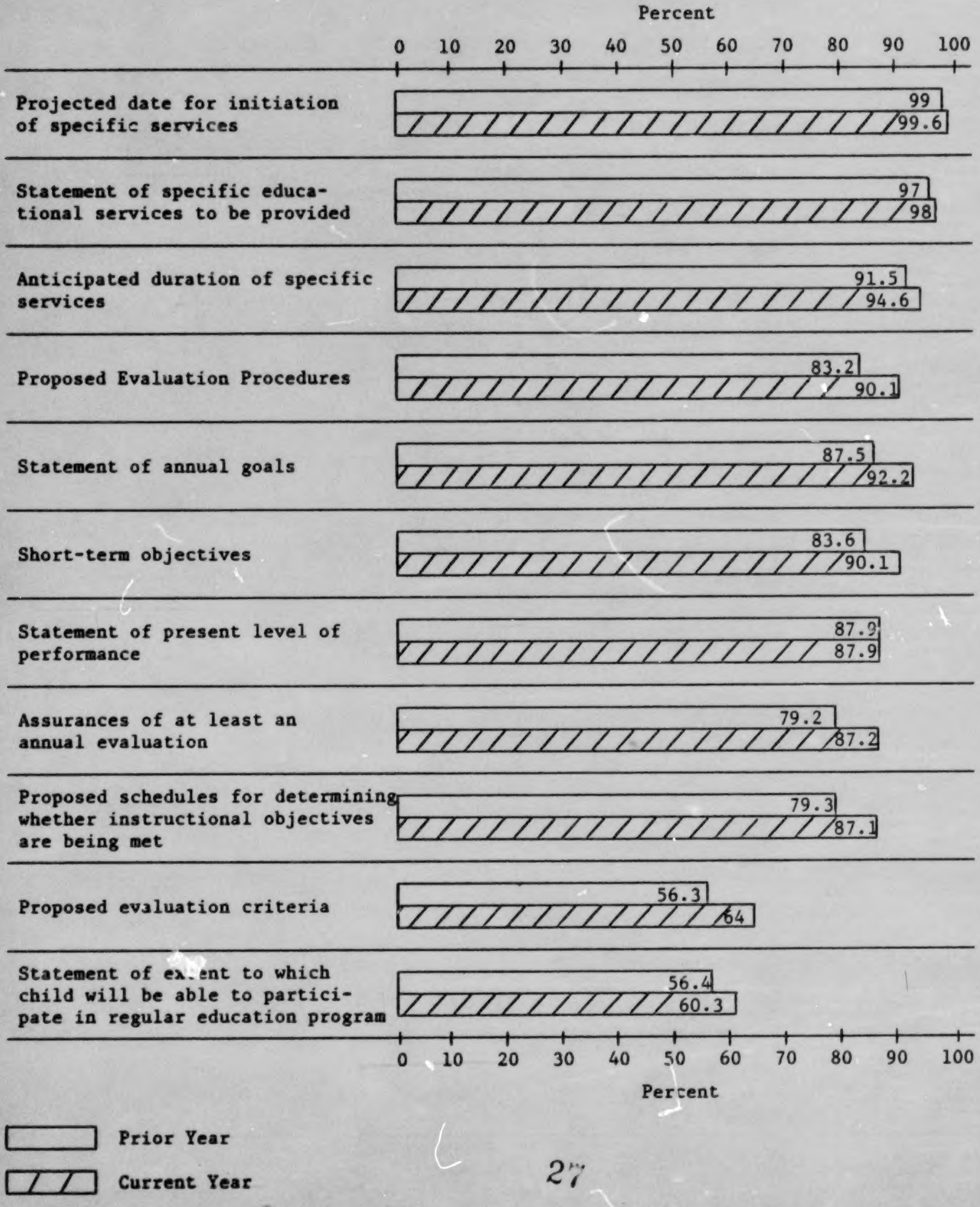

Figure 2.2. Percent of IEPs with Information Mandated by P.L. 94-142.

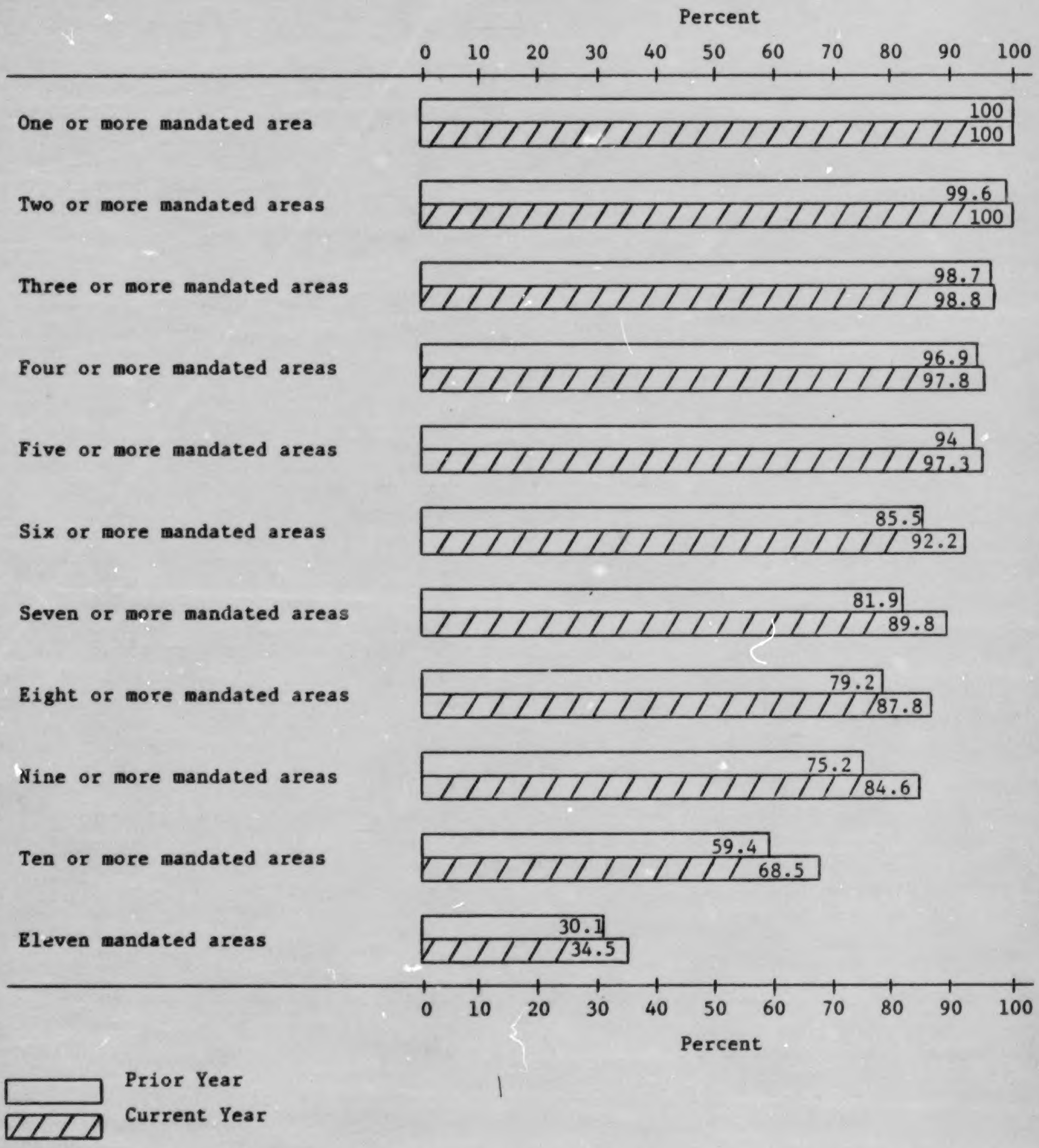

Figure 2.3. Cumulative Percentages of IEPs by Number of Mandated Information Areas Contained in IEPs.

increase contributed to the significant increases in the proportions of IEPs in which from six or more to ten or more mandated areas are included. While these increases occurred in both regular and special school IEPs, one minor difference was noted. The proportion of special school IEPs that included all 11 mandated areas actually decreased slightly for the current year. However, this decrease was offset by a relatively large (12 percentage points) increase in the proportion that included ten or more mandated areas (see Table A.7).

As was discussed in Volume III, these data regarding the extent to which mandated information was included in IEPs represent quite generous interpretations of what constitutes inclusion of the items of information. For convenience, the coding criteria by which these data were derived also are included in this volume on pages A.1 and A.2 of Appendix A.

2. How Mandated and Related Information Were Presented

This subsection discusses whether or not, or to what extent, change occurred from the prior year to the current year in how mandated and related information were presented in IEPs. Data were analyzed for the following areas:

a) Present-level-of-educational-performance information.
    1) Extent to which IEPs contained some present-level-of-performance information plus supporting data (e.g., test results).
    2) Extent to which IEPs contained present-level-of-performance information for at least three academic or functional areas.
    3) Extent to which IEPs contained present-level-of-performance information for at least one academic or functional area where special education was found not to be required (thus indicating an area of normalcy or strength).
    4) Extent to which IEPs contained date(s) of assessment of present level of performance.

b) Annual Goals.
    1) Average number of annual goals.
    2) Extent to which annual goals were presented in order of priority.

c) Short-term objectives.
    1) Average number of short-term objectives.

    2) Extent to which short-term objectives apparently were to be worked on throughout a full year (i.e., extent to which no information was included in the IEP to indicate that objectives were intended to be met in less than a full school year).

d) Statement of specific educational services to be provided.
    1) Extent to which a statement of specific educational services to be provided was listed under a heading requesting such information.
    2) Extent to which services-to-be-provided information was presented by listing the goals and/or objectives to be met by the service.
    3) Extent to which related services to be provided were listed.

e) Statement of extent to which the student was expected to be able to participate in regular education programs.

f) Projected date for initiation of services.
    1) Extent to which dates were specifically stated.
    2) Extent to which dates could be inferred from dates given for goals or objectives.
    3) Extent to which dates would have had to be inferred from the date IEP was prepared.
    4) Extent to which there was insufficient information upon which to base an inference.

g) Anticipated duration of services.
    1) Extent to which duration was specifically stated.
    2) Extent to which duration could be inferred from dates given for goals or objectives.
    3) Extent to which duration would have had to be inferred from headings that stated that goals were "annual" goals.
    4) Extent to which IEP stated that service would be provided "as long as needed."
    5) Extent to which there was insufficient information upon which to base an inference.

h) Proposed evaluation criteria.
    1) Extent to which proposed evaluation criteria were provided for one or more short-term objectives.

    2) Extent to which proposed evaluation criteria were provided for 25 percent or more of the short-term objectives.
    3) Extent to which proposed evaluation criteria were provided for 50 percent or more of the short-term objectives.
    4) Extent to which proposed evaluation criteria were provided for 75 percent or more of the short-term objectives.
    5) Extent to which proposed evaluation criteria were provided for 90 percent or more of the short-term objectives.

i) Proposed evaluation procedures.
    1) Extent to which evaluation procedures were clear from short-term objectives.
    2) Extent to which evaluation procedure was a precise statement of how the evaluation should be conducted.
    3) Extent to which evaluation procedures would have had to be inferred from unclear statements or from unclear short-term objectives.
    4) Extent to which evaluation procedures for evaluating short-term objectives could not be inferred because IEP included no short-term objectives.

j) Proposed schedules for determining whether instructional objectives were being met.
    1) Extent to which schedules were listed and specifically referred to as being evaluation schedules.
    2) Extent to which evauation schedules could be inferred from the short-term objectives.
    3) Extent to which evaluation schedules would have had to be inferred from beginning-of-treatment and end-of-treatment dates.
    4) Extent to which schedules were not stated and could not be inferred.

k) Assurance of at least an annual evaluation.
    1) Extent to which all of the short-term objectives appeared to require at least an annual evaluation.
    2) Extent to which some but not all of the short-term objectives appeared to require at least an annual evaluation.

3) Extent to which none of the short-term objectives appeared to require at least an annual evaluation.

4) Extent to which such information was not provided and could not be inferred.

Following is a discussion of each of these areas.

a. Present-Level-of-Educational-Performance Information

No significant change from the prior year to the current year was noted in any of the four items related to present-level-of-performance information.

b. Annual Goals

No change was noted in the number of annual goals or in the extent to which annual goals were presented in order of priority.

c. Short-Term Objectives

The median number of short-term objectives in IEPs increased from 12 for prior year IEPs to 16 for current year IEPs. The mean number of short-term objectives in IEPs increased from 23 (with a standard error of 1.6) for prior year IEPs to 31 (with a standard error of 3.3) for current year IEPs. This change was a result of change in regular school IEPs; there was no change in the average number of short-term objectives in special school IEPs.

No change was noted in the proportion of objectives that apparently were to be worked on throughout a full year.

d. Statement of Specific Services to be Provided

No changes was noted in how specific-educational-services-to-be-provided information was entered in IEPs, or in the extent to which related services were listed.

e. Statement of Extent to Which the Student was Expected to be Able to Participate in Regular Educational Programs

No significant difference was noted in the statement of extent to which the student was expected to be able to participate in regular education programs.

f. Projected Date for Initiation of Services

As is shown in Table 2.5, there was a change from the prior to the current year in the proportion of IEPs (8.7 percentage points) that provided a clear indication of the beginning date of service. The gain in total school IEPs and regular school IEPs is important since the gain resulted from a decrease of nine percentage points in the proportion of IEPs in which the

Table 2.5

DIFFERENCE, FROM PRIOR YEAR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs BY DEGREE OF SPECIFICITY OF THE STATEMENT OF BEGINNING DATES OF SERVICE AS CONTAINED IN IEPs, BY REGULAR AND SPECIAL SCHOOLS
(In percentage points)

Statement of Beginning Date of Service	Regular Schools	Special Schools	Total
Was specifically stated	+8.6	+10.7	+8.7
Could be inferred from dates given for goals or objectives	+1.2	-10.7	+0.7
Had to be inferred from date IEP was prepared	-9.0	-1.1	-8.6
There was insufficient information upon which to base an inference	-0.7	+0.9	-0.6

a/ See Table A.8 for related measures and their standard errors.

beginning date of service would have had to be inferred from the date the IEP was prepared. On the other hand, the suggested gain in special schools resulted primarily from a decrease of 10.7 percent in the proportion of IEPs that provided the beginning date of services by listing the date(s) on which work would begin toward meeting the short-term objectives. However, because of the high standard errors, these special school data are not significant. The above indicates that, particularly for regular schools, the beginning date of service in current year IEPs is more clearly stated than in the prior year IEPs.

g. Anticipated Duration of Service

There was no significant change in how anticipated-duration-of-service information was presented.

h. Proposed Evaluation Criteria

There was no significant change in how proposed evaluation criteria were presented in IEPs.

i. Proposed Evaluation Procedures

As is shown in Table 2.6, a slight change occurred in the proportion of IEPs that provided more specific statements of procedures for

Table 2.6

DIFFERENCE, FROM PRIOR YEAR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs BY DEGREE OF SPECIFICITY OF THE STATEMENT OF THE EVALUATION PROCEDURES FOR THE SHORT-TERM OBJECTIVES, BY REGULAR AND SPECIAL SCHOOLS[a]
(In percentage points)

Statement of the Evaluation Procedure	Difference from Prior Year to Current Year		
	Regular Schools	Special Schools	Total
Procedure was clear from the short-term objectives	+7.0	-10.6	+6.1
Procedure was a precise statement of how the evaluation should be conducted	+3.1	- 1.5	+2.8
Procedure had to be inferred from unclear statements or unclear short-term objectives	-6.4	+10.9	-5.6
Procedure could not be inferred because it was not stated and IEP had no short-term objectives	-3.6	+ 1.3	-3.4

[a] See Table A.9 for related measures and their standard errors.

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determining whether instructional objectives were being met. There was an increase of 8.9 percentage points (6.1 plus 2.8) in the proportion of IEPs in which the procedures were clear from the short-term objectives or from a precise statement of how the evaluation should be conducted. However, as also shown in the table, there was some indication of an opposite tendency in IEPs from special schools. The changes in special school data; however, were not sufficiently large to be considered statistically significant.

j. Proposed Schedules for Determining Whether Instructional Objectives were Being Met

There was a change from the prior year to the current year in the proportion of IEPs in which the proposed evaluation schedule for determining whether the instructional objectives were being met was either specifically stated or could be inferred from the short-term objectives As is shown in Table 2.7, the increase was 7.6 percentage points (3.4 plus 4.2). As with

Table 2.7

DIFFERENCE, FROM PRIOR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs BY DEGREE OF SPECIFICITY OF THE STATEMENT OF THE EVALUATION SCHEDULE FOR EVALUATING SHORT-TERM OBJECTIVES AS CONTAINED IN IEPs, BY REGULAR AND SPECIAL SCHOOLS[a/]
(In percentage points)

Statement Best Describing Evaluation Schedule	Difference from Prior to Current Year		
	Regular Schools	Special Schools	Total
Schedule was specifically stated as being the evaluation schedule	+3.7	-2.0	+3.4
Schedule could be inferred from the short-term objectives	+4.8	-6.0	+4.2
Schedule had to be inferred from beginning-of-treatment and end-of-treatment dates	-0.4	+9.7	-0.1
Schedule was neither stated nor implied	-8.1	-1.7	-7.8

[a/] See Table A.10 for associated standard errors.

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evaluation procedures, this improvement appeared only in IEPs from regular schools. While the degree of change in these data for special education schools was not statistically significant, there was some indication of an opposite tendency in IEPs from these schools.

k. Assurance of at Least an Annual Evaluation

An 8.1 percentage point increase (see Table 2.8) was shown in the proportion of IEPs in which all of the short-term objectives appeared to require at least an annual evaluation. This change also is reflected in the 7.9 percentage point reduction in the proportion of IEPs in which such information was not given and could not be inferred. The types of changes noted above took place with regular school IEPs; they did not occur in special education school IEPs.

B. Change in What Nonmandated Information Was Contained in IEPs and How This Information Was Presented

For both the prior year and current year IEPs, there was a direct relationship between the types of nonmandated information headings included in IEPs and the types of nonmandated information provided. While the same general

Table 2.8

DIFFERENCE, FROM PRIOR TO CURRENT YEAR, IN THE DISTRIBUTION OF IEPs BY DEGREE TO WHICH IEP INDICATED THAT AN ANNUAL EVALUATION OF SHORT-TERM OBJECTIVES WAS REQUIRED, BY REGULAR AND SPECIAL SCHOOLS
(In percentage points)

Statement of Annual Evaluation of Short-Term Objectives	Difference from Prior to Current Year		
	Regular Schools	Special Schools	Total
All of the short-term objectives appeared to require at least an annual evaluation	+8.5	+0.9	+8.1
Some but not all of the short-term objectives appeared to require at least an annual evaluation	0.0	-0.1	-0.1
None of the short-term objectives required at least an annual evaluation	-0.1	+0.4	-0.1
Such information was not given and could not be inferred	-8.2	-1.0	-7.9

a/ See Table A.11 for associated standard errors.

types of such information (e.g., student's age and grade, rationale for placement, personnel responsible for service, participants in the IEP process) were contained in both prior and current year IEPs, there was a general tendency toward providing more nonmandated information in current year IEPs. While the amount of change for specific items generally was too small to be significant, the tendency toward including such information is clear. Several differences were sufficiently large to be suggestive of change. As is shown in appendix Table A.12, the proportion of IEPs that included the student's age or birth date increased 7 percentage points, the proportion that included the student's race increased 5.5 percentage points, the proportion that included a listing of participants in the IEP process increased by 8.7 percentage points, and the proportion that included parental approval increased by 10.3 percentage points. In general, these changes occurred in both regular and special school IEPs. One possible exception was parental approval which decreased in special education school IEPs by 8.3 percentage points. However, this latter datum is not statistically significant.

IV. CHANGE FROM PRIOR TO CURRENT YEAR IN WHO PARTICIPATED IN THE DEVELOPMENT AND APPROVAL OF IEPs

As is shown in Table 2.9, there was a considerable increase in the proportion of IEPs that indicated participation in the IEP process by the various personnel categories. The exception was the proportion that indicated participation of ancillary personnel and students. Not only did the proportion of IEPs increase for participation in the IEP process, but also the proportion of IEPs signed by the personnel types increased. Probably the most significant improvement was in the proportion of IEPs that indicated representation in the IEP process by the three types of personnel mandated by P.L. 94-142: teachers; LEA administrative representatives; parents, guardians, or surrogates. For the prior year, only 29 percent of the IEPs indicated participation by all three of these personnel types in the IEP process. For the current year, this proportion increased to 37 percent of the IEPs (an 8 percentage-point increase).

Table 2.9

DIFFERENCE, FROM PRIOR TO CURRENT YEAR, IN PROPORTION OF IEPs THAT SHOWED EVIDENCE OF PARTICIPATION BY VARIOUS CATEGORIES OF PERSONNEL
(In percentage points)

	Difference from Prior to Current Year	
Categories of Participants	Participant in the IEP Process	Signer of the IEP
Teachers and therapists	+ 8	+ 9
Administrative personnel	+ 8	+11
Parents	+11	+12
Mandated personnel (at least one person from each of the three above categories)	+ 8	+ 8
Ancillary personnel	+ 1	+ 1
Student	+ 1	+ 1
Could not classify and others	+ 6	+ 6

As can be seen from Tables A.13 and A.14, the increased participation noted above occurred primarily in regular school IEPs. No similar increase was noted in special education school IEPs. While the proportion of prior year special education school IEPs that indicated participation by the various personnel types exceeded the proportion of regular school IEPs that indicated participation, for the current year the proportion of regular school IEPs increased to the point of being equivalent to the proportion of special school IEPs.

V. CHANGES IN THE TYPES OF SPECIAL EDUCATION AND RELATED SERVICES SPECIFIED IN IEPs

Special education services generally were specified in IEPs in the form of statements of need and the goals and objectives intended to meet those needs. Related services, on the other hand, generally were documented as explicit statements of the type of services to be provided. This section discusses changes from the prior year to the current year in the types of special education and related services specified in IEPs by (a) discussing change in the proportion of IEPs that listed need statements, goals, and objectives; and (b) discussing change in the proportion of IEPs that listed various types of related services.

A. Changes in Need Statements, Goals, and Objectives

Change in the proportion of IEPs that reflected services to be provided by including need statements, goals, and objectives already has been discussed in Section III. For example, it was noted (see Figure 2.2) that the proportion of IEPs that included annual goals increased by 4.7 percentage points, and the proportion that included short-term objectives increased by 6.5 percentage points. The analysis in this present section relates to change by academic and functional areas. No change was noted in the proportion of IEPs that included need statements for any specific academic or functional area. Neither was change noted in the proportion that included annual goals for any specific academic or functional area. There was only one change in the proportion of IEPs that included short-term objectives for specific academic or functional areas. The proportion of IEPs that included objectives for reading or oral or written language increased from 57.6 (with a standard error of 2.6) for the prior year to 67.8 (with a standard error of 2.5) for the current year.

B. Changes in Related Services

No changes from the prior to the current year was noted in the proportion of IEPs that listed related services, or in the types of related services that were listed.

VI. CHANGE FROM PRIOR TO CURRENT YEAR IN INFORMATIVENESS AND INTERNAL CONSISTENCY OF IEPs

All IEPs that included at least one statement of need, annual goal, or short-term objective were analyzed to determine the change from the prior to the current year in the distribution of IEPs containing various combinations of need statements, goals, and objectives in selected academic and functional areas. Since, to be informative and internally consistent, there should be a direct relationship between the objectives, the goals, and the areas of need indicated in the IEP, this analysis of the relationships was intended to permit conclusions to be drawn regarding changes in informativeness and internal consistency.

Only a few random differences were noted. As can be seen in appendix Table A.15, the following changes from the prior to the current year took place:

a) The proportion[2] of IEPs that contained need statements, goals, and objectives in the area of reading or oral or written English increased by 12 percentage points.

b) The proportion of IEPs that contained, in the area of social adaptation, only goals and objectives (but no statement of need) increased by 10 percentage points.

c) The proportion of IEPs that contained, for vocational/prevocational, only goals and objectives (but no statement of need) increased by 15 percentage points.

No definitive statement can be made, based on these findings, regarding change in informativeness and internal consistency. While the increased proportion of IEPs in which needs, goals, and objectives are listed for reading or oral or written English indicated increased informativeness and internal consistency in that academic area, no such improvement could be noted in other areas.

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[2] Proportions were based on IEPs that contained at least one need statement, one goal, one objective, or some combination thereof for the particular academic or functional area.

The exploratory investigation into categorizing IEPs according to degree of informativeness and internal consistency (see Volume III, Chapter 7) was extended to make comparisons between the prior year and current year IEPs. The findings for this substudy are presented in Appendix A, pages A.21-A.24. As noted in the appendix, two types of general improvements were noted in IEPs from the prior year to the current year. First, there was some improvement in informativeness of IEPs as indicated by an increase in the inclusion of information mandated by the Act (e.g., present-level-of-performance information, annual goals, short-term objectives, beginning date and duration of service). Second, there was an improvement in one measure of internal consistency; that is, a larger proportion of IEPs included at least one instance of listing a short-term objective that related to an annual goal that related to an area of indicated need.

VII. CHANGE FROM THE PRIOR YEAR TO THE CURRENT YEAR IN SERVICE SETTINGS AND PROPORTION OF TIME IN SERVICE SETTINGS

There was no change from the prior year to the current year in the proportion of regular school handicapped students receiving special education in various service settings (e.g., regular classroom, resource room, self-contained class). Neither was there any change in the average number of hours per week that students assigned to these settings spent in these settings.

Chapter 3

Level 2 Retrospective Longitudinal Substudy Findings

I. METHODOLOGY AND DESCRIPTION OF THE SAMPLE

A. Survey Methodology

The Level 2 Substudy sample consisted of 61 students from 61 schools in 25 school districts. This sample, a subsample of the Basic Survey sample, was selected according to the procedures described in Chapter 4 of Volume II. The substudy survey enjoyed a 100 percent response rate in that all selected districts and schools participated. It should be noted that the small size of the Level 2 Sample did not permit sufficient precision to make national estimates of the Level 2 Substudy findings. As a result, the counts and proportions presented and discussed in this chapter are unweighted sample data.

Data for the Level 2 Substudy were collected during site visits to the subsample of 25 school districts. The visits were made by RTI professional staff members and consultants from the Frank Porter Graham Child Development Center, University of North Carolina at Chapel Hill. Each visit consisted of the collection of all data for the Basic Survey (as is described in Volume II) and, in addition, of interviews, observations, and study of school records to obtain more specific information for the Level 2 Substudy sample.

The site visits were conducted in accordance with the Level 2 Site-Visit Protocol presented as Appendix B. As noted in the protocol, the Level 2 data collection activities included unstructured interviews with school district special education personnel and with the sample students' teachers, parents, and other relevant school personnel. In addition, pertinent information was obtained by observing classrooms and by reviewing each sample student's school records to obtain information for determining the student's current special education program. The interview, observation, and school record data were used to define the special education and related services received by each sample student for both the current year and the prior year.

Most of the data for answering the research questions were either entered on the data entry forms included in the Site-Visit Protocol (see Appendix B) or documented as narrative summaries. The remaining required data were obtained from the IEPs and various questionnaires collected as a part of the Basic Survey.

B. Description of the Sample

The 61 students in the Level 2 Substudy sample were selected from 61 schools in 25 school districts in 17 states. Following is a summary of descriptive information regarding the schools and the student sample.

1. School Descriptive Information

The schools from which the Level 2 Substudy students were selected included 8 special education schools and 53 regular schools. The urban/rural locations of these schools are shown in Table 3.1.

Table 3.1

LOCATION OF SAMPLE SCHOOLS

Size of City or Town	Number of Regular Schools	Number of Special Education Schools
A small rural or farming community	10	1
A small city or town of under 50,000 that is not a suburb of a city of 50,000 or over	15	1
A city of 50,000-200,000 that is not a suburb of a city of more than 200,000	11	1
The suburb of a city of 50,000-200,000	4	0
A city of 200,000-500,000 that is not a suburb of a city of more than 500,000	3	2
The suburb of a city of 200,000-500,000	3	1
A city of over 500,000	3	2
A suburb of a city of over 500,000	4	0

The number of students in the sample schools ranged from 72 to 4,700, with an average student body of 738. The number of handicapped students in the 53 regular schools ranged from one to 188 with the average being 37. The number of handicapped students in the special education schools ranged from 69 to 441 with the average being 193. The average annual per-pupil expenditure in the 25 school districts ranged from $1,000 to $2,743 with a mean of $1,643.

2. Student Descriptive Information

The age, grade, and race distributions of the 61 Level 2 Substudy students are shown in Tables 3.2, 3.3. and 3.4, respectively.

Table 3.2

SAMPLE STUDENT AGE DISTRIBUTION

Age	Number of Students	Age	Number of Students	Age	Number of Students
6	3	11	4	16	5
7	3	12	6	17	3
8	3	13	6	18	3
9	7	14	5	19	2
10	4	15	6	20	1

Table 3.3

SAMPLE STUDENT GRADE DISTRIBUTION

Grade	Number of Students	Grade	Number of Students	Grade	Number of Students
K	1	5	3	10	3
1	3	6	8	11	6
2	5	7	3	12	2
3	3	8	4	Ungraded	10
4	5	9	5		

The sex distribution of the sample is 37 males and 24 females.

Table 3.4

SAMPLE STUDENT RACE DISTRIBUTION

Race	Number of Students
Asian or Pacific Island	1
Black, not Hispanic	13
Hispanic	3
White, not Hispanic	44

The handicapping conditions of the 61 sample students are tabulated in Table 3.5. Since eight of the students had multiple handicaps, the numbers total more than 61.

Table 3.5

SAMPLE STUDENT HANDICAPPING CONDITION DISTRIBUTION

Handicapping Condition	Number of Students by Severity of the Handicap		
Students with Single Handicap			
	EMR	TMR	S/P
Mentally retarded	8	5	--
	Mild	Moderate	Severe
Learning disabled	12	7	4
Emotionally disturbed	--	2	1
Speech impaired	8	2	1
Deaf or hard of hearing	--	--	1
Orthopedically impaired (crippled)	--	1	--
Muscular distrophy	--	--	--
Perceptually impaired	--	1	--
Students with Multiple Handicaps			
	EMR	TMR	S/P
Mentally retarded	4	--	--
	Mild	Moderate	Severe
Learning disabled	3	2	--
Emotionally disturbed	1	--	--
Speech impaired	4	2	1
Deaf or hard of hearing	--	--	1
Orthopedically impaired (crippled)	1	--	1
Muscular distrophy	--	--	1
Perceptually impaired	--	--	--

C. Overview of the Balance of the Chapter

The balance of this chapter presents answers to the questions addressed by the substudy. Section II describes the special education services provided as compared to services specified in IEPs. Section III discusses the degree of parental familiarity with their children's IEPs. Section IV summarizes additional pertinent findings regarding school and school district policy and resource factors.

II. SPECIAL EDUCATION SERVICES PROVIDED AS COMPARED TO SERVICES SPECIFIED IN IEP

This section provides a summary of the data collected in the Level 2 Substudy regarding two research questions. These questions are:

a) What is the nature of the special education and related services that students in the subsample actually received?

b) How do the special education services actually received by students in the subsample compare with those services specified in the student's IEPs?

The balance of this section provides detailed answers to these questions. Section A discusses the assessment of present levels of educational performance, Section B discusses the special education and related services, Section C discusses the annual goals and short-term objectives, Section D compares the prior year services with the prior year IEPs, and Section E provides a summary of comparison of actual programs with programs as documented in the IEPs.

A. Assessment of Present Levels of Educational Performance

The Education for All Handicapped Children Act of 1975 (P.L. 94-142) states that the IEP shall include a statement of the present levels of educational performance of the child. This subsection discusses the types of assessments conducted for the 61 students in the sample, the currency of the assessments, the assessment results, how the actual assessments compared with assessment information in the IEPs, and apparent reasons for any differences between the actual assessment and the assessment as specified in the IEPs.

1. Types of Assessments Conducted

Based upon data obtained from the teachers of the 61 sample students, various combinations of nine general categories of assessment were used to determine the present levels of functioning for the sample students. These general categories of assessment, along with the specific instruments or techniques typically used for each, are listed in Table 3.6.

Fifty-six of the 61 sample students received some type of academic assessment. The number of students receiving each of the general categories of academic assessment are shown in Table 3.7. The numbers total more than 56 because some students received more than one category of academic assessment. Table 3.8 shows the number of students who received none, one, two, three, and all four of the categories of academic assessment.

Twenty of the 61 sample students received some type of functional assessment. The number of students receiving each of the general categories of functional assessment is shown in Table 3.9. The numbers total more than 20 because some students received more than one category of functional assessment. Table 3.10 shows the distribution of students by number of categories of functional assessment.

Following are several summary statements that help describe the types of assessments conducted for the 61 sample students.

a) The assessment of present level of performance of 29 students consisted solely of achievement testing and/or teacher-based assessment.

b) Eleven additional students' assessments consisted solely of various other combinations of one to three of the four categories of academic assessment.

c) Thirteen students were assessed in one or two of the four categories of academic assessment plus one or two of the five functional assessment categories.

d) Three students were assessed in two or three of the four categories of academic assessment plus two to five of the functional assessment categories.

e) Five students' assessments consisted solely of one (three cases) or three (two cases) of the functional assessment categories.

2. Currency of Assessments of Present Levels of Performance

Based upon data obtained from the teachers of the 61 sample students, the assessments of present levels of functioning were reasonably current. Table 2.11 provides a breakdown of the school years in which the assessments took place. It should be noted that a major reason for the large number of 1977-78 school year assessments appeared to be that certain standardized tests

Table 3.6

GENERAL ASSESSMENT CATEGORIES AND SPECIFIC INSTRUMENTS OR TECHNIQUES TYPICALLY USED FOR EACH

General Assessment Category	Special Instruments or Techniques Typically Used
Academic Assessments:	
1. Achievement Tests	Wide Range Achievement Test (WRAT) Peabody Individual Achievement Test (PIAT) Key Math Diagnostic Arithmetic Test
2. Ability Tests	Iowa Tests of Basic Skills (ITBS) Boehm Test of Basic Concepts California Tests of Basic Skills (CTBS)
3. Intelligence Tests	Wechsler Intelligence Scale for Children-Revised (WISC-R) Stanford-Binet Intelligence Scale
4. Teacher-Based Assessments	Teacher observations and impressions Daily anecdotal reports Teacher-made tests and checklists
Functional Assessments:	
5. Speech Assessments	Goldman-Fristoe Test of Articulation Deep Test of Articulation (MacDonald) Screening Deep Test of Articulation (MacDonald) Northwestern Syntax Screening Test Informal speech screens
6. Hearing Assessments	Test of Auditory Comprehension of Language Auditory Discrimination Test (Wepman) Audiometer General auditory discrimination screens
7. Vision Assessments	Snelling Visual Screen Informal visual screen
8. Adaptive Behavior and Projective Assessments	Vineland Social Maturity Scale Rorshach Ink Blot Test
9. General Medical and Motor Assessments	General medical examinations and screening Fine and gross motor assessment Psychomotor screening Rosner Perceptual Survey

Table 3.7

NUMBER OF STUDENTS RECEIVING EACH CATEGORY OF ACADEMIC ASSESSMENT

Academic Assessment Category	Number of Students Assessed
Achievement	41
Ability	7
Intelligence	15
Teacher-Based	24

Table 3.8

DISTRIBUTION OF STUDENTS BY NUMBER OF ACADEMIC ASSESSMENT CATEGORIES

Number of Academic Assessment Categories	Number of Students
None of the 4 Types	5
1 of the 4 Types	30
2 of the 4 Types	21
3 of the 4 Types	5
4 of the 4 Types	0
Total	61

Table 3.9

NUMBER OF STUDENTS RECEIVING EACH CATEGORY OF FUNCTIONAL ASSESSMENT

Functional Assessment Categories	Number of Students
Speech	10
Hearing	8
Vision	3
Personality and Projectives	8
General Medical and Motor	9

Table 3.10

DISTRIBUTION OF STUDENTS BY NUMBER OF FUNCTIONAL ASSESSMENT CATEGORIES

Number of Functional Assessment Categories	Number of Students
None of the 5 Types	40
1 of the 5 Types	11
2 of the 5 Types	6
3 of the 5 Types	2
4 of the 5 Types	1
5 of the 5 Types	1
TOTAL	61

Table 3.11

CURRENCY OF ASSESSMENTS OF PRESENT LEVELS OF FUNCTIONING

Date of Assessment	Number of Cases	
During 1978-79 School Year	32	
During 1977-78 School Year	21	} 25
Part of assessment during 1977-78, and part during 1978-79	4	
During 1976-77 School Year	2	
During 1975-76 School year	2	

are routinely administered at the end of the school year. This is supported by the fact that, of the 25 cases listed in Table 3.11, where all or part of the assessment took place during the 1977-78 school year, 18 cases showed at least part of the assessment taking place between April and July of 1978.

3. Results of Assessments of Present Levels of Performance

Comparison of teacher reports and IEPs indicated a high level of agreement as to the results of the assessments of present levels of performance. Table 3.12 indicates the number of sample students who, according to the assessment results, needed special education in various academic and functional areas. Also listed for each academic and functional area is the number of students who, according to the assessments results, did not need special

Table 3.12

NUMBER OF STUDENTS HAVING NEEDS, NUMBER NOT HAVING NEEDS, AND NUMBER HAVING BOTH STRENGTHS AND WEAKNESSES IN EACH ACADEMIC AND FUNCTIONAL AREA

Academic or Functional Area	Number of Students for Whom Assessment Indicated Need for Special Education	Number of Students For Whom Assessment Indicated No Need for Special Education	Number of Students For Whom Assessment Indicated Both Strengths And Weaknesses
Reading or Oral or Written	23	0	22
Mathematics	21	1	20
Science	1	0	0
Social Science	2	0	0
General Academic	13	2	8
Other Academic	1	3	3
Social Adaptation	8	9	7
Self-Help Skills	2	7	0
Emotional	1	1	0
Physical Education	1	3	0
Motor Skills	5	5	0
Speech	10	3	4
Visual Activity	6	6	2
Hearing	6	6	0
Vocational/Prevocational	4	5	3
Other (Physical Handicap)	1	0	0

education. The third column in the table gives the number of students who, according to the assessment results, both needed and did not need special education in a particular academic or functional area. This is because each area represents a rather broad category. For example, under mathematics, a student's assessment might indicate a need for special help in subtraction, but might indicate that special instruction is not needed in addition.

In 55 of the 61 cases, the assessment results appeared realistic based upon the types of assessments used. In six cases, the IEP listed some assessment results in academic or functional areas where neither the IEP nor the teacher indicated that assessments had been provided. For example, several IEPs indicated, by including entries in a checklist format, that the student's performance was average in visual perception, motor coordination, and speech. However, the teacher did not indicate that assessment in those areas took place. Neither did the IEP give any clue as to the source of the information. Since these possible discrepancies were not noticed during the teacher interviews, the reason for them is not known.

In 33 cases, at least part of the assessment results was given in grade equivalencies.

4. How Actual Teacher Reported Assessment Compared With Assessment Information on the IEPs

To compare the actual assessments of present levels of performance (based on information provided by the teachers of the sample students) with the assessment information listed on the IEPs, the following questions were addressed.

a) In how many cases was the actual assessment provided basically identical to that specified in the IEP?

b) In how many cases did the actual assessment exceed that specified in the IEP?

c) In how many cases did the assessment specified in the IEP exceed the actual assessment?

d) In how many cases did the IEP provide data to support the statement of present level of functioning?

e) In how many cases did the IEP provide the assessment dates?

Table 3.13 summarizes data that answers the first three questions. For the 22 cases where the actual assessment exceeded that specified in the IEP, the differences generally were not particularly significant. Often the

Table 3.13

ACTUAL ASSESSMENTS COMPARED WITH ASSESSMENTS SPECIFIED IN THE IEPs

Type of Comparison	Number of Cases
Actual assessment matched that specified in IEP	37
Actual assessment exceeded that specified in IEP	22
Assessment specified in IEP exceeded actual assessment	0
Actual assessment was different from but basically equivalent to that specified in IEP	2
Total	61

difference was as simple as the IEP listing assessment results but not providing the name of the assessment instrument or method. In other cases, the teachers might have named four or five instruments that actually were used, and the IEP lists only a portion of those instruments. In no case did the IEP list significant assessments that, according to the teacher, did not take place.

Data regarding the fourth question listed above (In how many cases did the IEP provide data to support the statement of present level of functioning?) is provided in Table 3.14. As shown in the table, 40 (i.e., 21 + 19) of the 61 IEPs provided supporting data, such as test scores, for part or all of the listed assessments.

Table 3.14

EXTENT TO WHICH IEPs INCLUDED A HEADING REQUESTING DATA TO SUPPORT THE STATEMENT OF PRESENT LEVEL OF FUNCTIONING, AND THE EXTENT TO WHICH SUCH DATA WERE PROVIDED

Extent to Which Heading and Supporting Data were Included	Number of Cases
IEP included heading requesting data, and data were provided for all assessments	21
IEP included heading requesting data, and data were provided for some but not all assessments	19
IEP included heading requesting data, but data were not provided	1
IEP did not include heading requesting data, and data were not provided	20
Total	61

Data regarding the number of cases in which the IEP provided the assessment date is provided in Table 3.15. As can be seen from the table, assessment dates were included on the IEPs in slightly less than half of the 61 cases.

5. Apparent Reasons for Differences Between Actual Assessments and Assessments Specified in IEPs

In none of the 61 cases did it appear likely, based on teacher interview data, that the IEP specified assessments that did not take place. In all of the 61 cases, the actual assessment program appeared to equal or exceed the assessment specified in the IEP. In those 22 cases where the actual assessment appeared to have exceeded the assessment listed on the IEP, the relatively minor variations appeared to result mostly, if not exclusively, from the teacher's or committee's tendency to include only major assessments in the IEP. In many cases, this tendency was encouraged by the format of the IEP, which often had only limited space for assessment data. In this often limited space, those who prepare the IEP, quite logically, emphasized the results of the assessments rather than the types of instruments or procedures used to obtain those results. One positive outcome of this tendency may be the fact that all of the 61 IEPs provided, in varying degrees of detail, results of an assessment.

Table 3.15

EXTENT TO WHICH IEPs INCLUDED A HEADING REQUESTING ASSESSMENT DATES, AND THE EXTENT TO WHICH SUCH DATES WERE PROVIDED

Extent to Which Headings and Dates were Included	Number of Cases
IEP included heading requesting assessment dates, and dates were provided	17
IEP did not include heading requesting assessment dates, but dates were provided	10
IEP included heading requesting assessment dates, but dates were not provided	1
IEP did not include heading requesting assessment dates, and dates were not provided	33
Total	61

As shown in Table 3.14, 21 of the 61 IEPs failed to provide any data, such as test scores, to support the statement of present level of performance. It is interesting to note that 20 of the 61 IEPs, all 20 of which are included in the 21 noted above that did not provide the data, did not have a heading that asked for supporting data. Since the IEP format appeared to be determined primarily at the school district level, the lack of a heading under which to list test scores, etc., apparently reflected the school district decision that such information was not necessarily needed in the IEP.

As shown in Table 3.15, no assessment dates were included on 34 of the 61 IEPs. The reason for this appeared to be the same as for supporting data; that is, most of the IEPs did not have a heading for such information. Of the IEPs for the 61 sample students, only 18 IEPs had a heading requesting assessment dates.

B. Special Education and Related Services Provided

The Education for all Handicapped Children Act of 1975 (P.L. 94-142) states that the IEP shall include a statement of the specific educational services to be provided, and the extent to which the student will be able to participate in regular educational programs. The Act also states that the IEP shall include the projected date for initiation and anticipated duration of the services. This subsection discusses the types of placements, the number of hours per week that the students received the special education services, the related services provided, the beginning dates and duration of services, how the actual services provided compare with the services as specified in the IEPs, and the apparent reasons for any differences between services received and services specified in the IEPs.

1. Types of Placement

Table 3.16 displays the types of placement in which the 61 sample students received special education services. The table also shows the number of sample students in each type of placement. These data are based on teacher interview information.

2. Hours Per Week Assigned to Special Education

Table 3.17 shows the number of hours per week that the sample students received special education services in the placement settings shown in Table 3.16. These data also are based on teacher interviews.

Table 3.16

PLACEMENT FOR SPECIAL EDUCATION

Type of Placement	Number of Sample Students Placed
Resource Room	29
Self-Contained Special Education Classroom	19
Speech Therapy	7
Resource Room Plus Vocational Program or Work Setting	2
Self-Contained Special Education Classroom Plus Vocational Program or Work Setting	2
Departmentalized Program (Student moved from class to class in a special education school)	1
Regular Classroom	1
Total	61

Table 3.17

HOURS PER WEEK IN SPECIAL EDUCATION SETTING

Hours Per Week in Special Education	Number of Students
1 hour or less	7
2-1/2--5 hours	16
5-1/2--10 hours	8
12-1/2--15 hours	4
20--25 hours	13
27-1/2--30 hours	12
50 hours (Includes work program)	1
Total	61

3. Related Services Provided

According to the teacher interviews, 10 of the 61 sample students received related services. These data are presented in Table 3.18.

Table 3.18

RELATED SERVICES PROVIDED

Types of Related Service	Number of Sample Students
Special Diet (for hyperactive child)	1
Nursing Care	1
Physical Therapy	1
Counseling	1
Transportation	6
Total	10

4. The Beginning Dates and Anticipated Duration of Services

The beginning dates of special education services (that is, the dates that the current IEPs became effective) are given in Table 3.19. It is evident from this table that most of the IEPs became effective at the beginning of the 1978-79 school year.

The duration of services, generally expressed by providing the beginning date and ending date, typically was for one academic year. The ending dates for the current year IEPs are tabulated in Table 3.20.

Table 3.19

BEGINNING DATES OF SPECIAL EDUCATION SERVICES

Beginning Dates of Services	Number of Cases
Beginning of 1978-79 School Year	43
Beginning of Second Half of 1978-79 School Year (January or February 1979)	10
March or April 1979	4
End of 1977-78 School Year (May or June 1977)	4
Total	61

Table 3.20

ENDING DATES OF SPECIAL EDUCATION SERVICES

Ending Dates of Services	Number of Cases
End of 1978-79 School Year	56
January 1980	2
April 1980	3
Total	61

5. Comparison of Services Provided With Services Specified in IEPs

In only one case did the IEP list the student as receiving special education in one setting (resource room) when the student actually was assigned to a different setting (self-contained classroom). However, in another 20 cases, the IEP did not specify the setting. In the remaining 40 cases the teacher reports of placement agreed with the placements specified in the IEPs. There was no disagreement regarding related services provided.

There was no significant disagreement as to the beginning date and duration of service. In one case, the IEP stated that special education would begin in September 1978; the program actually started in October 1978.

There was no significant disagreement between the hours per week that sample students were assigned to special education and the hours per week specified in the IEPs. However, 32 of the IEPs failed to provide this mandated information. In two cases, the actual hours per week in special education was 20 hours whereas the IEP listed the time as being 15 hours.

6. Apparent Reasons for Differences Between Actual Special Education Placements and Placements Specified in IEPs

Differences between actual special education placements, based on interview information from the teachers of the 61 sample students, and placements specified in IEPs were more a factor of missing data in the IEPs than of any real disagreements.

The one case where there was actual disagreement (the IEP specified resource room while the actual placement was in a self-contained classroom) was a result of the format of the IEP. The placement portion of the IEP utilized a checklist format for noting the type of placement. Only "regular classroom," "vocational program," and "resource room" were listed on this checklist format. The teacher checked the "resource room" block because it came closest to matching the actual placement. Fourteen of the IEPs did not have a heading for a placement or services-to-be provided recommendation. Twenty-nine of the IEPs did not have a heading under which to list "related services" to be provided.

Of the 32 IEPs that did not provide information regarding extent to which the student would be able to participate in the regular classroom, 15 did not have a heading for such information. Of the 17 IEPs that had headings requesting the information, but where the information was not provided, 12 of the students were placed full time in special education schools or self-contained classrooms. This may indicate that some teachers or committees did not think it necessary to write in extent-of-participation-in-regular-classroom data in those situations where the student typically did not attend a regular classroom. (It should be noted that the term "regular classroom" is not a particularly meaningful term for a special education school.)

C. Annual Goals and Short-Term Objectives

The Education for all Handicapped Children Act of 1975 (P.L. 94-142) states that the IEP should include a statement of annual goals, including short-term instructional objectives, and appropriate objective criteria and evaluation procedures and schedules for determining, on at least an annual basis, whether instructional objectives are being achieved. This subsection describes these factors as they relate to the special education programs of the 61 sample students, and compares these factors in the actual program to the factors as presented in the IEPs. This subsection also discusses apparent reasons for differences between the actual goals and objectives and the goals and objectives listed on the IEPs.

1. Annual Goals

The actual special education programs for the 61 sample students, based on teacher interviews, included annual goals in the academic and functional areas shown in Table 3.21. The table also shows the number of students whose program included annual goals in each of these areas. As shown on the table, most of the programs included, as a minimum, goals in language and mathematics.

Table 3.21

NUMBER OF SPECIAL EDUCATION PROGRAMS HAVING ANNUAL GOALS IN VARIOUS ACADEMIC AND FUNCTIONAL AREAS

Academic or Functional Area	Number of Special Education Programs Including Goals in Each Area
Reading	34
Spelling	15
Written Expression	9
Other Reading or Oral or Written English	19
Mathematics	41
Science	5
Social Science	5
General Academic	19
Other Academic	5
Social Adaptation	20
Self-Help Skills	6
Physical Education	5
Motor Skills	4
Speech	11
Vocational/Prevocational	9
Other	9

A comparison of the actual program goals with the goals listed on the IEPs is shown in Table 3.22. In seven cases, the actual program, based on

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Table 3.22

COMPARISON OF ACTUAL PROGRAM GOALS WITH GOALS LISTED IN IEPs

Type of Comparison	Number of Cases
Actual program goals were the same as goals listed in IEP	53
Actual program goals exceeded goals listed in IEP	7
Goals listed in IEP exceeded actual program goals	1
Total	61

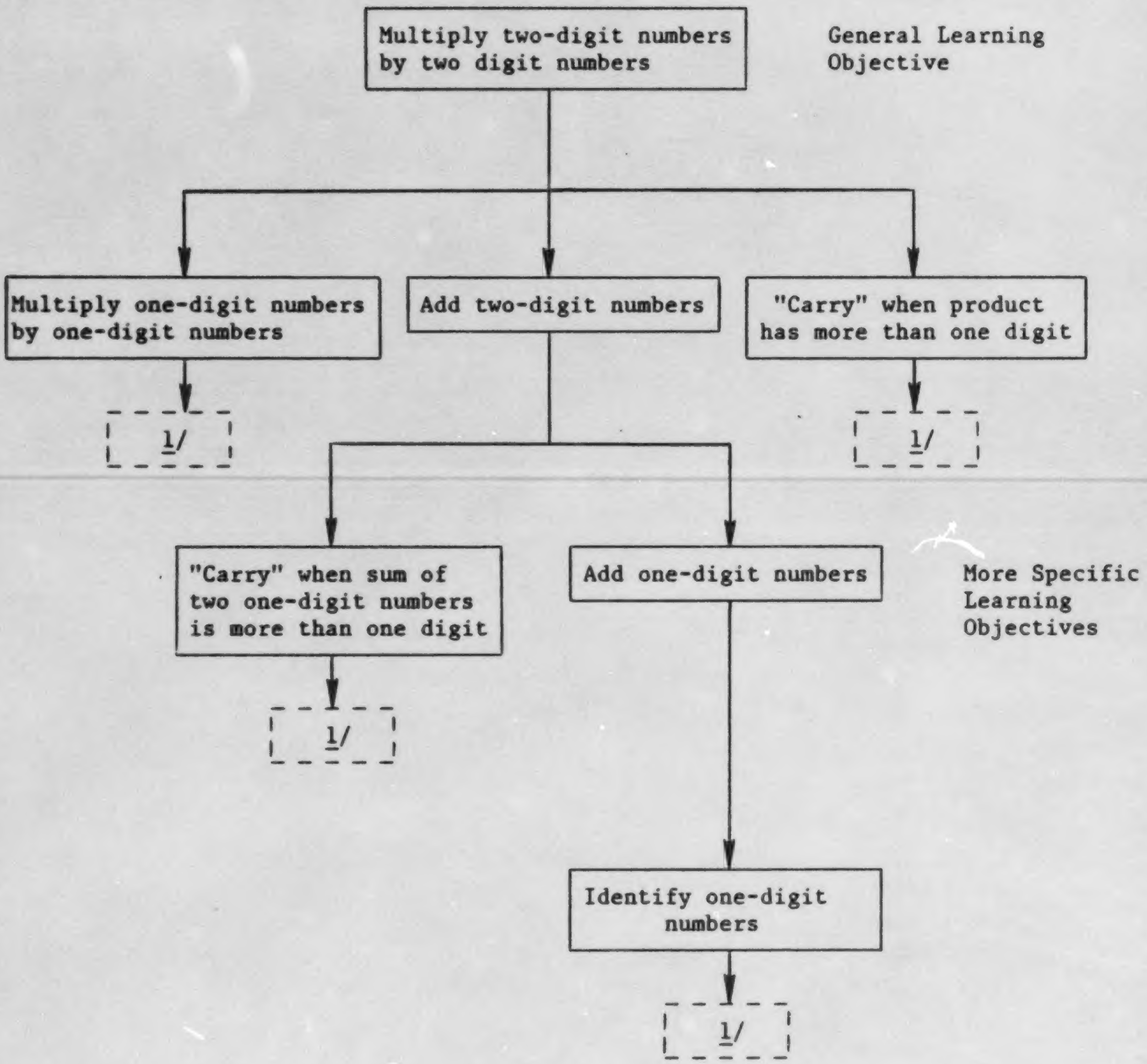
information provided by the teachers, included some goals that were not listed on the IEP. In one case, the IEP listed goals that were not a part of the actual program. In the remaining 53 cases, the actual program goals were essentially identical to the goals listed in the IEP.

2. Short-Term Objectives

The actual short-term objectives and the objectives in the IEP were compared on two dimensions. First, the short-term objectives were compared to determine to what extent the actual objectives were intended to address the same needs (meet the same goals) as the IEP objectives. Second, the level of specificity of the short-term objectives (or learning steps) was compared.

In general, the actual short-term objectives were similar to the objectives in the IEPs in subject-matter covered. One major exception was the eight previously discussed cases where the annual goals differed. Where there were additional annual goals, there also were additional short-term objectives; where certain goals had been omitted, the related short-term objectives also were omitted. Another exception was six cases where the IEP had no short-term objectives. In the remaining 47 cases, while there often were minor variations in subject-matter covered, there was a good match between the actual program and the IEPs.

Level of specificity of short-term objectives refers to the degree of detail or the degree to which objectives approach actual learning steps. For example, consider the learning objective "Learn to multiply two-digit numbers by two-digit numbers." This objective easily can be broken down into less complex objectives as shown in Figure 3.1. As is shown in the figure, in order to learn the general objective, one first must learn the three objectives listed just under the general objective. In order to learn one of these objectives, one must learn the next lower level of objectives, etc. Eventually, such a learning analysis will result in learning objectives or learning steps that the student already can master. The major point here is that a teacher cannot directly teach the general objective of multiplying two-digit numbers to a student who has not mastered a number of more specific learning objectives. The level of specificity of short-term objectives, then, has a direct relationship to the practicality of teaching objectives exactly as they are written without introducing some number of additional intervening objectives. The level of specificity of objectives is an indication of the degree to which the documented objectives are the "real" classroom objectives or more of a summary statement of the real objectives.


Multiply two-digit numbers by two digit numbers
General Learning Objective
Multiply one-digit numbers by one-digit numbers
Add two-digit numbers
"Carry" when product has more than one digit
1/
1/
"Carry" when sum of two one-digit numbers is more than one digit
Add one-digit numbers
More Specific Learning Objectives
1/
Identify one-digit numbers
1/

1/ To simplify the figure, a further breakdown of these objectives has not been included.

Figure 3.1

Reducing a General Learning Objective to More Specific Objectives

A comparison of the level of specificity of the short-term objectives for the 61 sample students is provided in Table 3.23. The table shows that, by a slight majority of cases, the objectives actually used in the classroom are more specific than the objectives listed on the IEPs. In no case are the actual objectives less specific than the IEP. This indicates that, in most of the 61 cases, the IEP represents an overview of the actual program as represented by the short-term objectives to be met by the program.

Table 3.23

COMPARISON OF LEVEL OF SPECIFICITY OF SHORT-TERM OBJECTIVES

Type of Comparison	Number of Cases
Level of specificity of objectives in actual program same as level of specificity of objectives in IEP	30
Level of specificity of objectives in actual program greater than level of specificity of objectives in IEP	25
Level of specificity of objectives in actual program greater because IEP had no objectives	6
Level of specificity of objectives in IEP greater than in actual program	0
Total	61

3. Appropriate Objectives Criteria

Evaluating the existence of appropriate objective criteria for determining whether or not the short-term objectives were being met required considerable subjectivity on the part of the Level 2 Substudy interviewers. Since such criteria often were not documented, either in the IEP or elsewhere, estimating the proportion of the short-term objectives for which evaluation criteria existed was largely dependent upon the interviewer's opinion as to whether the criteria proposed by the teachers was the actual planned criteria or merely the teacher's ideas of criteria that might be used.

Because of the largely subjective nature of these data, only in cases where extreme differences appear can it be reported with any confidence that any differences existed between the actual objective criteria and the criteria entered in the IEP. More specifically, the actual existence of objective criteria for determining whether or not the short-term objectives were being met was considered to exceed the objective criteria information in the IEP only in those cases where (a) the interviewer stated that objective criteria existed for some, most, or all of the short-term objectives, and (b) the IEP completely failed to provide such data. This situation existed in 17 of the 61 cases. In no case did the existence of evaluation criteria in the IEP exceed the existence of evaluation criteria in the actual program.

It should be noted that most of the IEPs for the sample students (42 of the 61) did not contain a heading requesting appropriate objective criteria. More typically the objective criteria was considered to be a part of the short-term objectives. E.g., if a short-term objective was a logical statement of expected behavior to an acceptable (acceptable to those who wrote the IEP) standard, it was considered in this study to include appropriate objective criteria. (Also see Appendix P of Volume III.) In only 19 of the 61 IEPs were 50 percent or more of the short-term objectives considered to be logical statements of expected behavior to an acceptable standard. Thirty-one of the IEPs did not include a single short-term objective that met this criterion (six of these had no short-term objectives).

4. Evaluation Procedures for Short-Term Objectives

As with objective evaluation criteria, determining the existence of procedures for evaluating the short-term objectives was based more on subjective opinion than on actual data. In 16 of the 61 cases, however, not only did (a) the interviewer conclude that evaluation procedures existed in the actual program, for some, most, or all of the short-term objectives; but also, (b) the IEPs for these programs failed to list evaluation procedures for any objectives. In the remaining 45 cases, there was not sufficient evidence to determine the match between the actual program and the IEP. In no case was there an indication that the IEP exceeded the actual program in the number of objectives for which evaluation procedures were available.

5. Evaluation Schedule for Short-Term Objectives

The schedules for evaluating short-term objectives, as reported by the teachers of the sample students, are as shown in Table 3.24. While these evaluation schedules were in general agreement with the evaluation schedules stated in or assumed from other data in the IEPs, in about half of the cases

Table 3.24

EVALUATION SCHEDULES FOR SHORT-TERM OBJECTIVES

Evaluation Schedule	Number of Cases
Progress on at least part of the objectives evaluated daily or weekly	20
Progress on objectives generally evaluated about every six weeks	11
Progress on objectives generally evaluated at end of school term	11
Progress on objectives generally evaluated at end of school year	7
No specific evaluation schedule	12
Total	61

the actual evaluations took place somewhat more frequently than would be inferred from the IEPs. It should be noted that very few of the IEPs specifically provided an evaluation schedule. In most IEPs the schedule had to be inferred from other data. Table 3.25 shows, for example, the source of the evaluation schedule data in the 61 sample IEPs.

Table 3.25

SOURCES OF EVALUATION SCHEDULE DATA

Sources of Evaluation Schedule Data	Number of Cases
Schedule was specifically stated as being the evaluation schedule	5
Schedule could be implied from short-term objectives	30
Schedule had to be implied from the beginning-of-treatment and end-of-treatment dates	25
Schedule was neither stated nor implied	1
Total	61

6. Apparent Reasons for Differences Between Actual Annual Goals and Short-Term Objectives, and Goals and Objectives Specified in IEPs

In the eight cases where the actual program goals differed from the goals listed in the IEP, the differences were relatively minor and generally consisted of the addition or omission of one or two goals from a total of four or five goals. Two major reasons for these differences were offered by the teachers. First, IEPs sometimes are prepared at the end of the previous school year, usually by last year's teacher. This year the student may have had a different teacher who worked toward meeting somewhat different goals without yet updating the IEP. And second, in several cases the teacher stated that the student had made more progress than had been expected and, thus, was now working toward meeting slightly different goals than those listed in the IEP. In schools where these situations appeared to exist, IEPs typically were prepared (or updated) at a particular time during the school year. To assemble a committee and prepare a new IEP at other points when changes in goals was anticipated did not appear to fit the school's system, and thus was not typically done.

Two major reasons for differences in actual short-term objectives and objectives listed in the IEPs were, as noted previously, given by school and school-district personnel. First, in those cases where the annual goals differed, the related short-term objectives, of necessity, also differed. And second, the level of specificity of objectives as documented in the IEP generally was not as great as the level of specificity of objectives taught in the classroom because this portion of the IEP generally was considered to be more of an overview than an actual classroom lesson plan. Teachers generally considered that it was unnecessary and unduly burdensome to document short-term objectives at the learning-step level actually used in the classroom.

Differences in objective criteria, evaluation procedures, and evaluation schedules appeared to be primarily a result of not listing such data in IEPs. As was noted earlier, only 19 of the 61 IEPs had headings requesting objective criteria, and only 30 IEPs had one or more short-term objectives that, by virtue of being logical statements of expected behavior to an acceptable standard, could be considered to include objective criteria. Much the same thing also was true of evaluation procedures and evaluation schedules. Only 26 of the IEPs contained headings requesting evaluation procedure information, and only 20 IEPs contained headings requesting evaluation schedules.

D. Comparison of Prior Year Services with Prior Year IEPs

The IEP for the prior year (generally the 1977-78 school year) was available for 49 of the 61 Level 2 Substudy students. However, for 3 of these 49 IEPs, the teacher(s) who provided the prior year services was not available for interviewing (i.e., the teacher no longer taught in the school district or the student had transferred from another school district). This left a sample of 46 students for whom comparisons could be made between special education services provided for the prior year and the services promised in the prior year IEP.

Since the teacher had to depend primarily on memory to describe the services actually provided to the student during the prior year, the interview focused on five major items of information. These items, which are listed below, were considered to provide a realistic picture of the extent of special services provided.

1) Placement.
2) Beginning date of service.
3) Proposed duration of service.
4) Hours per week (or percent of time) assigned to special education.
5) Nature of and number of annual goals.

Table 3.26 presents data on how, based on teacher interview information and review of the IEPs, the actual prior year program compared with the IEP regarding these five items.

As can be noted from the table, the differences between the actual prior year services and the IEP can be grouped into two categories: the actual program included more annual goals than the IEP, and the IEP did not include certain information. These categories of differences and possible reasons for the differences are discussed below.

The reasons given by teachers for the larger number of annual goals included in the actual prior year program were the same as the reasons given for the current year program; that is, the IEP sometimes is prepared by the previous year's teacher who did not always include all of the actual goals, and the students' progress sometimes justifies working toward new goals in addition to the planned goals. As can be noted from Table 3.26, 12 (or 26 percent) of the prior year programs apparently included more annual goals than were listed in the IEP. This is in marked contrast to the current year where only 7 of 61 (or 11.5 percent) of the programs included more annual goals than

Table 3.26

COMPARISON OF PRIOR YEAR SERVICES WITH PRIOR YEAR IEPs

How Services Compared to IEP	Number of Cases
Actual program was basically identical to IEP	13
Actual program was basically identical to IEP except that IEP did not provide information regarding hours per week assigned to special education	17
Actual program was basically identical to IEP except that IEP did not provide information regarding placement or hours per week assigned to special education	1
Actual program was basically identical to IEP except that IEP did not provide information regarding proposed duration of service or hours per week assigned to special education	1
Actual program had more annual goals than IEP; otherwise, program was basically identical to IEP	9
Actual program had more annual goals than IEP. Other factors were basically identical except that IEP did not provide information regarding hours per week assigned to special education	1
Actual program had more annual goals than IEP. Other factors were basically identical except that IEP did not provide information regarding placement or hours per week assigned to special education	1
Actual program had more annual goals than IEP. Other factors were basically identical except that IEP did not provide information regarding proposed duration of service or hours per week assigned to special education	1
No comparison could be made because, while an IEP existed, it did not contain information regarding placement, beginning date of service, proposed duration of service, hours per week assigned to special education, or annual goals	2
Total	46

were listed in the IEP. Two possible reasons for this year-to-year difference is offered. First, the current year IEPs for the 46 students average slightly more goals (7.7 goals per IEP) than do the prior year IEPs (7.1 goals per IEP). The fact that fewer goals were listed in prior year IEPs could contribute to the actual prior year program goals exceeding those listed on the IEPs. And second, for the prior year, the teacher was considering the entire school year whereas, for the current year, only part of the school year generally was considered (Level 2 data collection took place in January through April of 1979; therefore, up to five months of the school year remained when the teachers were interviewed). It is quite possible that, when new goals are added to a program, such additions tended to take place near the end of the school year after many of the goals listed in the IEP are more likely to have been met.

While the reasons for the larger number of annual goals are somewhat speculative, the reasons for the missing data on the 46 IEPs is somewhat more certain. In 30 of the 36 cases of missing data in the IEP, the IEP did not have a heading requesting the data. The breakdown of IEPs that failed to provide data and did not have a heading requesting the data is provided in Table 3.27.

Table 3.27

NUMBER OF PRIOR YEAR IEPs THAT FAILED TO PROVIDE VARIOUS TYPES OF DATA, AND THE NUMBER OF THESE IEPs THAT DID NOT INCLUDE A HEADING REQUESTING THE DATA

Type of Data	Number of Prior Year IEPs that Failed to Provide the Data	Number of Prior Year IEPs that Failed to Provide Data and Also Did Not Have a Heading Requesting the Data
Recommended placement	4	4[a]
Beginning date of service	2	2
Proposed duration of service	4	4
Hours per week assigned to special education	24	18[b]
Annual goals	2	2
Total	36	30

[a] An additional six IEPs did not have a heading requesting the data but did provide the data.

[b] Six IEPs had a heading requesting the data but did not provide the data.

E. Summary of Comparison of Actual Programs with Programs as Documented in the IEPs

The major Level 2 Substudy finding regarding the comparison of actual special education programs with programs as documented in the IEPs is that the actual program, for the 61 student sample, compared favorably with the IEP, for both the current year and (for 46 of the student sample) for the prior year. There appeared to be no attempt to promise services in the IEP with no intention of actually providing the service. Instead, the actual program tended to expand slightly on the typically overview type of program outline included in the IEP. No attempt was made in the Level 2 Substudy to judge the quality or appropriateness of the actual special education programs; therefore, no such results can be reported here. It can, however, be stated with reasonable confidence that the actual program generally included those services specified in the IEP and the actual program plan often included a level of detail not included in the IEP.

III. DEGREE OF PARENTS' FAMILIARITY WITH THEIR CHILDREN'S IEPs

To determine the degree to which the parents (or guardians) of the Level 2 subsample students were knowledgeable about their children's IEPs, an attempt was made to interview the parent (or guardian) of each of the 61 students in the subsample. Forty-four (or 72 percent) of the parents were contacted, 38 by telephone and 7 by mail. In every case, only one parent, usually the mother, was contacted. In addition, for each of the 61 students in the sample, the teacher most knowledgeable about the student's IEP was asked for his or her opinion of how knowledgeable the child's parents were about the IEP. This latter information not only provided data for all 61 students in the sample, but also permitted comparison of teachers' perceptions with parents' perceptions. Following is a summary of the information obtained from the various parental-knowledge contacts.

A. General Information

Since all 61 parents were sufficiently conversant in English to understand their child's IEP, no particular assistance was required in conducting the parent interviews.

According to teacher reports, in 59 of the 61 cases, the parent was aware that his or her child was considered by the school to be handicapped. In the remaining two cases, the teacher was not sure one way or the other.

B. Extent to Which Parent Was Aware That Student Had an IEP

In all 44 of the cases where the parent was contacted, the parent indicated that he or she was aware that his or her child had an IEP. In all 44 of these cases, the student's teacher also indicated that the parent was aware of the existence of the IEP. In the 17 cases where the parent was not contacted, one teacher indicated that the parent was not aware of the existence of the IEP, one teacher stated that she did not know whether or not the parent knew about the IEP, and 15 teachers stated that the parent did know of the IEP. It is interesting to note that in the one case where the teacher stated that the parent was not aware that her child had an IEP, the actual IEP contained what apparently was the parent's approval signature. However, this IEP is entitled "Individual Student Plan" and makes no mention of a handicapping condition or of the present level of educational functioning. Therefore, it is possible that the parent signed the document without knowing it was an IEP.

C. Degree of Parental Familiarity with the Content of the Student's IEP

The degree of parental familiarity with the content of the IEP is shown in Table 3.28. These data are based on statements from the 44 contacted parents. As can be seen from the table, only one parent indicated that she was not at all familiar with the content of the IEP. The IEP for this parent's child noted that two parent conferences were arranged with the parent, but that the parent cancelled both.

Table 3.28

DEGREE OF PARENTAL FAMILIARITY WITH THE CONTENT OF THE IEP; BASED ON PARENT STATEMENTS

	Yes	No
Thoroughly Familiar with Content	19 (43 %)	25 (57 %)
At Least Somewhat Familiar with Content	33 (75 %)	11 (25 %)
At Least Vaguely Familiar with Content	43 (98 %)	1 (2 %)

Table 3.29 shows the teacher's perception of the degree of parental familiarity with the content of the IEP. Only the 44 cases where the parent was contacted are included. It is interesting to note that the teachers appear somewhat overly-optimistic about the degree of parental familiarity with the IEP. While in 36 (or 82 percent) of the 44 cases the parents were in agreement with the teachers, parents in 8 (or 18 percent) of the cases reported being slightly less familiar with the content of the IEP than the teachers had thought them to be. In no case did the parent interview indicate that the parent was more familiar with the IEP than the teacher had thought.

Table 3.30 presents data regarding parental familiarity with the content of the IEP for the parents of all 61 sample students. Where it is available, the parent inputs are used; where parent input is not available, teacher perceptions are used.

Table 3.29

TEACHER'S PERCEPTION OF DEGREE OF PARENTAL FAMILIARITY WITH THE CONTENT OF THE IEP

	Yes	No
Thoroughly Familiar with Content	24 (57 %)	19 (43 %)
At Least Somewhat Familiar with Content	36 (82 %)	7 (18 %)
At Least Vaguely Familiar with Content	44 (100 %)	0 (0 %)

Table 3.30

DEGREE OF PARENTAL FAMILIARITY WITH THE CONTENT OF THE IEP; PARENT STATEMENTS SUPPLEMENTED BY TEACHER PERCEPTION

	Yes	No	Don't Know
Thoroughly Familiar with Content	26	33	2
At Least Somewhat Familiar with Content	43	16	2
At Least Vaguely Familiar with Content	56	3	2

It is interesting to note that a high positive correlation exists between parental familiarity with the content of the student's IEP and parental-participation-in-the-IEP-process data (as reported by teachers in the Student Characteristics Questionnaires). These relationships are shown in Table 3.31.

Table 3.31

RELATIONSHIPS BETWEEN PARENTAL FAMILIARITY WITH CONTENTS AND DEGREE OF PARTICIPATION IN IEP PROCESS

Degree of Familiarity With Content of IEP	Number of Parents by Degree of Participation in the IEP Process			
	Participated in IEP Committee	Met with School Personnel to Discuss IEP	Did Not Participate (Other than Signing IEP)	TOTAL
Thoroughly Familiar with Content	10	8	1	19
Somewhat Familiar with Content	9	3	2	14
Only Vaguely Familiar With Content	3	3	4	10
Not at all Familiar With Content	--	--	1	1

This table shows, for example, that of the 19 parents who claimed to be thoroughly familiar with their children's IEPs, 10 apparently participated in the IEP committee, another 8 apparently met with school personnel to discuss the IEP, and only 1 did not participate in any way except to sign the IEP. On the other hand, of the ten parents who stated that they were only vaguely familiar with the IEP, only three participated in the IEP committee, three others met with school personnel to discuss the completed IEP, and four participated only by signing the completed IEP.

D. Extent to Which Parents Agreed that Their Children's IEPs Were Appropriate

The extent to which parents agreed that their children's IEPs were appropriate for meeting the children's special educational needs is shown in Table 3.32. These data are based on statements from the 44 contacted parents. The teachers' perception of parental agreement with the appropriateness of the IEPs was quite similar to that expressed by the parents.

Table 3.33 shows the parent agreement information for the parents of the entire sample of 61. Teacher information is included where parent contacts were not made.

Table 3.32

EXTENT TO WHICH PARENTS AGREED THAT THE IEP WAS APPROPRIATE; BASED ON PARENT STATEMENTS

Completely Agreed with IEP	37
Agreed with Most but Not All of IEP	5
Agreed with Only a Small Part of IEP	1
Completely Disagreed with IEP	0
Was Not Sufficiently Familiar with IEP to Have an Opinion	1

Table 3.33

EXTENT TO WHICH PARENTS AGREED THAT THE IEP WAS APPROPRIATE; PARENT STATEMENTS SUPPLEMENTED BY TEACHER PERCEPTION

Completely Agreed with IEP	48
Agreed with Most but Not All of IEP	7
Agreed with Only a Small Part of IEP	1
Completely Disagreed with IEP	0
Parent Not Sufficiently Familiar with IEP to Have an Opinion, or Teacher Did Not Know	1

For the parents who stated that they agreed with most but not all of the IEP, some of the typical descriptions of the nature of the disagreement were:

"Thinks child should be in a 'closed' classroom rather than in the present 'open' classroom."

"Thinks 16-year-old child should be in a vocational program so she can learn something that pays."

"Thinks more than the present 40 minutes per week should be spent in individual speech therapy."

The one parent who agreed with only a small part of her child's IEP, did agree with the IEP's goals and objectives. Her disagreement was with the child's placement. She thought the committee members did not understand the nature and depth of the child's handicap (listed as moderately emotionally disturbed), and that the child should be in a self-contained classroom rather than the present 3 1/2 hours per day in a resource room for learning-disabled children and 2 1/2 hours per day in the regular classroom.

All of the parents who disagreed with part of the IEP appeared to have approved the IEP by signing it. There were no indications of disagreement noted on the IEPs.

E. Extent to Which Parents Considered that Their Children Were Receiving Services Specified on IEPs

Thirty-nine of the contacted parents stated that they thought the services specified on the IEPs were, in fact, being provided; four parents stated that they had no opinion as to whether or not the services were being provided; and one parent stated that some of the services specified in her child's IEP were not being provided. In the latter case, the parent stated that her daughter was not receiving speech therapy. The child's current placement was part time in a resource room for remedial math and the balance of the time in the regular classroom. She was classified by the school as speech impaired. Her IEP also recommends speech therapy. However, all of the IEP goals and objectives were for assistance with math. The IEP also commented that the student (16 years old) seemed to have a new problem every week, most of them designed to gain attention, and that this week the supposed problem was a need for speech therapy.

F. Other Parent Comments

Seventeen of the 44 contacted parents specifically stated their approval of the program for handicapped children. Typical of comments from parents was:

> "I am very pleased with my child's progress in school, and I like being included in the process."
>
> "We are pleased with the program she's in. They are doing a good job with her."

Eight parents specifically mentioned their involvement in the IEP process. They indicated a high level of interest and involvement in the program. Three parents specifically mentioned that, while they were interested in their child's program, they were quite satisfied to leave the planning to the school.

A number of parents appeared to be aware of their child's placement, but they were quite vague about details of the IEP. With some parents, there was a tendency to confuse the total school program with the special education services. One mother expressed her pleasure with her child's academic progress in school. However, she did not connect this progress with the IEP but rather from the counseling the child was receiving from social services.

One mother expressed her pleasure with her child's special education program, but added that the child's father still thinks the child is just lazy.

One mother wrote a brief note that said, "My child is learning and seems happy in school. I thank you for your interest in them."

G. Summary Statement of Parental Familiarity with the IEP

The above indicates that, for the majority of the students in the Level 2 Substudy sample, the parent was at least somewhat familiar with the IEP. Most of the parents were aware of the child's placement and had a general idea of the services being provided; however, many of the parents were only vaguely familiar with details of the IEP such as the annual goals and short-term objectives. Parents tended to be slightly less familiar with the content of the IEP than the teachers thought they were. There was a positive correlation between parental familiarity with IEPs and parental participation in the IEP process.

Most of the parents not only believed that their child was receiving the services specified on the IEP, but also approved of the program and were pleased with the results.

IV. ADDITIONAL LEVEL 2 SUBSTUDY FINDINGS

This section summarizes additional Level 2 findings, particularly results of interviews with district directors of special education of the 25 school districts in the Level 2 Substudy sample. These interviews focused primarily on the following district policy and resource factors.

a) The procedure by which a student typically is identified as handicapped.

b) How IEPs typically are developed, reviewed, and revised.

c) What role the parent and student typically play in the IEP process.

d) The relationship between resources available for providing special education to handicapped students and resources needed for providing such services.

Each of these factors is discussed briefly below.

A. Procedure by Which a Student Typically Is Identified as Handicapped

According to interviews with school district special education personnel and, to a lesser degree, with school personnel, most referrals were made by regular classroom teachers. Some districts, particularly in higher socioeconomic areas, reported parental referrals. Other school personnel (e.g., counselor, speech therapist) apparently also make some referrals. While some type of child-find program typically was (or once had been) in existence, the level of activity appeared to be inconsequential.

The student referral typically was to a school-based committee if in a large school or a large school district, or to a school district committee if in a small school district. Occasionally there was an intermediate step in which the referral was to a special service representative, usually the school counselor, who reviewed the case and, where appropriate, referred the case to the committee. The committee requested assessments (or reviewed existing assessment data) and made what they considered to be an appropriate placement.

B. How IEPs Typically Are Developed, Reviewed, and Revised

The IEP typically was developed initially by a school-based or school-district committee. Although a group effort was involved, the individual teacher responsible for providing the services generally did most of the actual writing of the IEP, particularly of the short-term objectives.

Review and revision of the IEP appeared to take place at least annually, often in the spring. In some districts, the review/revision process appeared to be scheduled routinely two to four times per year. The special education teachers appeared to take an even heavier part in the revision process than in the original development.

Several school and school district personnel complained of a lack of in-service training for those who prepared IEPs. The special education teachers, while they generally appeared competent and enthusiastic, often complained that they had neither the training nor the time to prepare an optimum IEP. A particular area of indicated need was additional training in writing appropriate short-term objectives.

To provide additional data regarding the IEP developmental process, the teacher most familiar with the sample student's special education program was asked what personnel types contributed to the development of the current IEP and to what degree each of these personnel contributed. As is shown in

77

Table 3.34, in over half of the 61 cases the teacher reported that the IEP was prepared solely by those who provided the special education services. This does not mean that there were no IEP committee meetings and/or review procedures. It means that, according to the teacher's statements, the teacher(s) who provided the services actually prepared the entire IEP.

Table 3.34

PERSONNEL WHO PREPARED IEPs

Personnel Types Who Prepared IEP	Number of Cases
Only the teacher who provided the services	30
Only the teacher who formerly provided the services	2
Only the 3-4 teachers who provided the services	2
A committee that included the teacher(s) who provided the services	27
TOTAL	61

In 16 of the 27 cases where, according to the teacher statements, the IEP was prepared by a committee, the teacher(s) who provided the services furnished 50 percent or more of the inputs to the IEP. The distribution of teacher inputs is shown in Table 3.35.

Table 3.35

EXTENT OF INPUT TO PREPARATION OF IEP BY TEACHER(S) WHO PROVIDED THE SPECIAL EDUCATION

Extent of Teacher Input Into Preparing IEP	Number of Cases
Some but less than 25 percent	7
25-49 percent	4
50-74 percent	7
75-99 percent	9
Subtotal	27
100 percent	34
Total	61

In 18 of the cases, the teacher indicated that the students' parent(s) contributed to the development of the IEP. The extent of parental input is shown in Table 3.36.

Other personnel types who contributed 25 percent or more to preparation of IEPs are listed, along with the numbers of cases, in Table 3.37.

Table 3.36

EXTENT OF INPUT TO PREPARATION OF IEP BY THE STUDENTS' PARENT(S)

Extent of Parental Input Into Preparing IEP	Number of Cases
No participation	43
Some but less than 10 percent	4
10-24 percent	10
25-49 percent	3
50-74 percent	1
75 percent or more	0
Total	61

Table 3.37

OTHER PERSONNEL WHO CONTRIBUTED 25 PERCENT OR MORE TO PREPARATION OF THE IEP

Personnel Type	Number of Cases
Psychologist	7
Social Worker	4
Learning Specialist/Consultant	2
Regular Classroom Teacher	1
Total	14

It can be concluded from the above that, according to the teacher reports in the 61 cases, the teacher(s) who provided the special education service typically either developed the IEP or provided most of the inputs toward its development.

C. Parent and Student Role in the IEP Process

The degree of parental participation in the IEP process appeared to relate directly to the socio-economic status (SES) of the community. High SES districts generally reported a high level of parent involvement; in low SES communities, parent involvement appeared almost nonexistant. Several districts stated that parents often participated in the initial development of the IEP but failed to participate in the review/revision process.

Very little student involvement in the IEP process was noticed. In those scattered cases where students were included in the developmental process, such participation appeared to be restricted primarily to secondary school students in vocational programs.

D. Relationship Between Available Resources and Needed Resources

Very little information was gained as to any special education services that were needed but not available. There was some indication that needed resources generally were available somewhere, but not always in the schools where they were needed. Students possessing significant handicapping conditions often were placed in service facilities outside of the school building in which they would normally be enrolled. Superior resources appeared to be available in high SES, rapidly growing areas.

E. Additional Observations

In several school districts, the development of IEPs appeared to be more of a legalistic function than of an educational function. In some cases, while an up-to-date IEP was on file, relatively little use was made of the IEP in guiding the educational progress of the student. In several cases, the only copies of the IEPs appeared to be on file at the school district office, which generally was remote from the school and classroom where the special education was provided. In one case, ten students shared a single IEP. On the other hand, the process intended by P.L. 94-142 was clearly being implemented in a number of school districts. School-based committees were making placement decisions, preparing IEPs, and monitoring student progress.

School district and school personnel who worked with handicapped students generally appeared competent and highly motivated. While they often worked under considerably less than optimum conditions, they typically were optimistic and enthusiastic about their work, about progress made to date, and about the possibilities for progress in the future.

Chapter 4

Major Findings and Implications

This chapter summarizes the major findings and implications of both Level 1 and Level 2 of the Retrospective Longitudinal Substudy.

I. MAJOR FINDINGS OF THE LEVEL I SUBSTUDY

The specific question addressed by the Level 1 Retrospective Longitudinal Substudy was: "What is the difference between two consecutive school years in the answers to Basic survey Questions 1-7. Following is a summary of major findings for each of these seven questions.

A. What Do IEPs Look Like?

From the prior year (the 1977-78 school year) to the current year (the 1978-79 school year) there was a slight increase in the average number of pages in an IEP, an increase in the proportion of IEPs that provide a place for parental approval, and an increase in the proportion of IEPs that consisted of separate documents from different teachers or service sources. Current year IEPs tended to provide more headings for both mandated and nonmandated information and tended to be less restrictive in limiting the number of short-term objectives.

B. What Kinds of Information Do IEPs Contain?

There was considerable improvement in the current year IEPs in the extent to which they included the 11 items of information mandated by the Act. In particular, a larger proportion of current year IEPs included short-term objectives, evaluation criteria, evaluation procedures, evaluation schedules, and assurance of at least an annual evaluation. There was some indication of a tendency toward including additional nonmandated information as well.

C. How Is Information Presented in IEPs?

There were improvements in current year IEPs from regular schools in the specificity of information regarding the projected date of initiation of services, proposed evaluation procedures, and assurance of at least an annual evaluation. In general, these improvements were not noted in IEPs from special education schools.

The average number of short-term objectives in current year IEPs increased by almost 50 percent.

D. Who Participates in the Development and Approval of IEPs?

There was a definite increase in the proportion of current year IEPs that showed participation in the development and approval processes by teachers and therapists, administrative personnel, and parents. This change occurred in regular school IEPs but not in IEPs from special education schools.

E. What Types of Special Education and Related Services Are Specified in IEPs?

Few changes were noted in the types of special education and related services specified in IEPs. There was a slight increase in the proportion of IEPs that contained goals and objectives in the areas of social adaptation and in vocational/prevocational.

F. How Informative and Internally Consistent Are IEPs?

There was a slight increase in the proportion of IEPs that showed informativeness and internal consistency by including need statements, goals, and objectives in reading or oral or written English. Also, there was an increase in the proportion of IEPs that included at least one instance of a short-term objective that related to an annual goal that related to an area of indicated need. Current-year IEPs were somewhat more informative in that a larger proportion of IEPs included information mandated by the Act.

G. In What Service Settings, and for What Proportion of the Academic Week, Do Students Receive the Special Education Services Specified in IEPs?

No change was noted from the prior year to the current year in the service settings in which special education services were provided, or in the proportion of the academic week that handicapped students spent in these settings.

II. MAJOR FINDINGS OF THE LEVEL 2 SUBSTUDY

This section summarizes the findings of the Level 2 Substudy by presenting major findings regarding the four research questions addressed by the Level 2 Substudy.

A. What Is the Nature of the Special Education and Related Services that Students in the Subsample Actually Received?

The assessment of the present level of functioning of the 61 students in the subsample consisted primarily of administration of achievement tests or teacher-made tests. However, a fairly wide range of both academic and functional assessment techniques was used. Most assessments were conducted either at the end of the prior year or at the beginning of the current year.

Over half of the students received special education in a resource room; about one-third received special education in a self-contained classroom. Half of the students received ten hours or less of special education per week; the other half received twelve and one half hours or more.

About two-thirds of the IEPs became effective at the beginning of the school year. About 15 pecent became effective at the beginning of the second half of the school year. The ending date of service for almost all of the special education programs was the end of the school year.

The special education programs generally were directed toward meeting goals in reading or oral or written English and/or mathematics. About one-third of the IEPs included goals in social adaptation; about 15 percent included goals in speech.

Progress toward meeting short-term objectives was evaluated at least every six weeks in about half of the special education programs. The balance were evaluated less often or had no particular evaluation schedule.

B. How Do the Services Actually Received Compare with Those Specified in the Student's IEP?

There was very close agreement between the actual special education programs and the programs specified in the IEPs. This was true for both the prior year and the current year. There appeared to be no attempt to promise services in the IEP with no intention of actually providing the service. Instead, the actual programs tended to be more comprehensive than the program outlined in the IEPs. For example, the evaluation of present level of performance often was more thorough than was outlined in the IEP, the number of annual goals being worked on often was larger, and the actual classroom objectives generally were more detailed than the summary statements in the IEPs.

Three possible reasons for the tendency of the actual programs to expand slightly on the programs outlined in the IEPs are as follows:

1) The IEP format often tended to restrict the type, amount, or level of detail of information included in the IEP.
2) In several school districts, the district's policies indicated that the development of IEPs was more of a legalistic function than of an educational function. For example, in several cases the only copies of the IEPs apparently were kept at the school district office; in one case ten students shared a single IEP.
3) There was some indication of insufficient inservice training. Several special education teachers indicated that they had neither the training nor the time to prepare an optimum IEP.

C. How Knowledgeable Are Parents (Guardians) About the IEPs of Their Children (Wards)?

All of the parents were aware that their child had an IEP. Practically all of these parents were at least vaguely familiar with the contents of the IEP, at least one-third of these were at least somewhat familiar with the contents, and about one-fifth of the parents who were aware that their child had an IEP were thoroughly familiar with the contents. In general, parents were aware of their child's placement and the general services being provided. They were considerably less familiar with the annual goals and short-term objectives. Parents tended to be slightly less familiar with the contents of the IEP than the teachers thought they were. There was a strong relationship between parental familiarity with IEPs and parental participation in the IEP process.

Most of the parents not only stated that their child was receiving the services specified in the IEP, but also expressed approval of the program.

D. What Personnel Provide What Proportion of the IEP Development Effort?

For half of the 61 students in the subsample, the teacher who provided the special education stated that he or she personally prepared the IEP which was later reviewed by the committee. For most of the balance of the IEPs, the teacher who provided the special education provided 50 percent or more of the inputs to the IEP. For one-fourth of the IEPs, the parents provided 10 percent or more of the inputs to the IEP. In most of the remaining cases, the parent did not participate at all in the actual IEP preparation.

III. CONCLUSIONS AND IMPLICATIONS

The major conclusion of the Level 1 Substudy was that, while, as detailed in Volume III, a sizeable proportion of current year IEPs still did not meet the legal requirements of the Act, considerable gains were made from the prior to the current year in preparing IEPs that did meet the requirements. However, only minimal changes were made in providing additional useful, but not mandated, information in IEPs. Considering that the prior year was the initial year for implementation of the Act's requirements for IEPs, this conclusion appears to reflect a logical emphasis, in the current year IEPs, on attempting to meet the legal requirements. One implication of these changes is that a follow-up on the Level 1 Substudy is needed to determine to what extent the progress reflected in the Level 1 Substudy findings continues to be made in succeeding years. Such a follow-up study also could provide insights into change in the degree to which IEPs are considered to be educational as opposed to legalistic documents. Such change likely would be reflected in the proportion of IEPs that provide useful education-related information not necessarily required by the Act.

The major conclusion of the Level 2 Substudy was that there was a close match between special services provided and special services as documented in IEPs. This finding not only provided support for the Basic Survey findings regarding the nature and extent of services provided to handicapped students, but also indicated that IEPs could be used with a high degree of confidence to monitor overall compliance with the Act.

While the Level 2 Substudy findings regarding parental inputs into the IEP process and parental attitudes toward the program emphasized certain weaknesses regarding lack of participation by some parents, the general picture was quite positive and indicated that the increased parental participation is an important outcome of implementation of the Act.

Another finding of Level 2 Substudy was that there was a direct relationship between the IEP format and the completeness of the IEP. This finding supported similar findings in the Basic Survey. The implications are strong that additional attention is required in developing or adapting IEP formats that include space for mandated and other important educational information.

Level 2 Substudy interviews with district and school personnel reinforced Basic Survey findings that many IEPs reflect a need for additional training on the part of those who prepare the IEPs. One implication of the substudy was that in-service training is needed particularly in the writing of short-term objectives.

Appendix A

Supporting Data for Chapter 2

Appendix A

Supporting Data for Chapter 2

Criteria for Determining the Occurrence of Mandated Information in IEPs

A determination as to the occurrence of mandated information in IEPs was based on questions in the IEP Evaluation Checklist. The following criteria were used to determine whether or not the following types of mandated information were included:

1) Statement of present level of performance: any number circled in the column labeled "Present level of functioning listed" (Item 6, Column A).
2) Statement of annual goals: any positive number entered in column labeled "Number of goals listed" (Item 6, Column E).
3) Short-term objectives: any positive number entered in column labeled "Number of short-term objectives" (Item 7, Column A).
4) Statement of specific educational services to be provided: (a) any appropriate information entered under a heading requesting such information (Item 3, Column B, number 14); (b) any positive number entered in column labeled "Number of goals listed" (Item 6, Column E); (c) any positive number entered in column labeled "Number of short-term objectives" (Item 7, Column A); or (d) any number circled to indicate a related service to be received (Item 10).
5) Statement of extent of participation in the regular program: any amount of time (either percent or minutes per week) entered in question regarding proportion or amount of time assigned to special services (Item 9).
6) Projected date for initiation of services: an item circled in the question on beginning dates of service (Item 12) which stated that the date(s) was (were) (a) specifically stated; (b) could be inferred from dates contained in goals or objectives; or (c) could be inferred from date IEP was prepared.
7) Anticipated duration of services: an item circled in the question on duration of services (Item 13) which stated that the duration was (a) specifically stated; (b) inferred from dates given for goals or objectives; (c) inferred from heading stating that goals were annual goals; or (d) that services would be provided "as long as needed."

8) Proposed evaluation criteria: any appropriate information entered under a heading requesting such information, or any positive number entered in column labeled "Number of objectives that include a logical statement of expected behavior to an acceptable standard" (Item 7, Column B). Included in this latter criterion were (a) a statement of observable behavior; (b) a statement of specific criteria by which student would be judged to have met/not met that objective; and (c) reasonably logical internal consistency between statements "a" and "b." (It should be noted that evaluation criteria listed anywhere in the IEP were considered to be a part of the related short-term objectives.)

9) Proposed evaluation procedures: an item circled in the question regarding evaluation procedures (Item 14) which stated that the procedure was (a) clear from the short-term objectives; (b) contained in a precise statement of how the evaluation (of the short-term objectives listed in the IEP) should be conducted; or (c) inferred from unclear statements of how the evaluation (of short-term objectives listed in the IEP) should be conducted, or from unclear short-term objectives. (An example of an unclear statement or unclear objective is "will learn multiplication tables." While it is not clear to an impartial observer exactly what procedure will be used to determine whether or not the objective has been met, there is some reason to believe that an appropriate procedure may be assumed.)

10) Proposed schedules for determining whether instructional objectives are being met: an item in the question concerning evaluation schedules (Item 15) which stated that the schedule was: (a) specifically stated as being the evaluation schedule; (b) implied from the short-term objectives; or (c) implied from beginning-of-treatment and end-of-treatment dates.

11) Assurances of at least an annual evaluation: an item circled in the question regarding an annual evaluation (Item 16) which stated that: (a) all of the short-term objectives appear to require at least an annual evaluation or (b) some, but not all, of the short-term objectives appear to require at least an annual evaluation.

Table A.1

DISTRIBUTION OF THE NUMBER OF PAGES IN IEPs, FOR REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS
(In percents, with standard errors noted in parentheses)

Number of Pages	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
1	10.9 (2.0)	6.3 (1.6)	2.8 (2.2)	2.7 (2.1)	10.4 (1.9)	6.1 (1.5)
2	23.0 (3.2)	21.4 (2.5)	12.4 (4.9)	15.2 (6.1)	22.4 (4.9)	21.1 (2.4)
3	17.2 (2.5)	16.9 (2.0)	13.4 (3.8)	16.9 (2.0)	17.0 (2.4)	16.8 (1.9)
4	13.2 (1.9)	12.5 (1.7)	9.9 (3.3)	7.8 (3.9)	13.0 (1.7)	12.3 (1.6)
5	9.0 (1.5)	14.0 (2.0)	11.1 (4.1)	11.0 (4.2)	9.1 (1.5)	13.8 (1.9)
6	9.0 (1.6)	7.0 (1.3)	7.5 (3.8)	6.3 (3.1)	8.9 (1.6)	6.9 (1.2)
7-10	12.3 (2.3)	13.5 (1.8)	23.9 (4.7)	23.7 (5.8)	12.9 (2.3)	14.1 (1.7)
11 or greater	5.5 (1.3)	8.4 (1.5)	18.9 (5.7)	18.8 (4.9)	6.3 (1.3)	9.0 (1.5)
Mean number of pages	4.5 (0.3)	5.2 (0.3)	7.4 (1.0)	7.2 (0.7)	4.7 (0.3)	5.3 (0.3)

Table A.2

DISTRIBUTION OF IEPs ACROSS CATEGORIES OF READABILITY, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS
(In percents, with standard errors noted in parentheses)

Category of Legibility	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
1. IEP Typed and Legible	20.8 (2.6)	17.0 (2.5)	15.1 (5.7)	24.8 (6.7)	20.5 (2.5)	17.5 (2.8)
2. IEP Handwritten But Easy to Read	75.9 (2.5)	81.2 (2.6)	80.5 (6.0)	72.8 (6.5)	76.2 (2.4)	80.8 (2.6)
3. IEP Handwritten and Difficult to Read	2.3 (0.8)	1.5 (0.9)	4.4 (2.4)	2.5 (1.4)	2.4 (0.8)	1.5 (0.8)

Table A.3

PROPORTION OF IEPs CONTAINING HEADINGS, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS

(In percents, with standard errors noted in parentheses)

	Regular School		Special School		Total	
Headings for:	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Student's age or birthdate	77.1 (3.3)	79.4 (2.9)	85.7 (4.4)	92.7 (3.2)	77.5 (3.2)	80.1 (2.8)
Student's grade level	57.3 (3.8)	59.2 (4.0)	56.0 (8.4)	60.5 (8.3)	57.3 (3.8)	59.2 (4.0)
Student's sex	13.6 (3.7)	14.2 (3.9)	16.7 (5.7)	18.9 (6.6)	13.8 (3.6)	14.5 (3.9)
Student's race	2.2 (1.0)	7.8 (3.1)	6.8 (4.1)	14.2 (5.0)	2.5 (1.1)	8.1 (3.1)
Present level of performance	86.5 (2.3)	87.1 (2.7)	87.1 (5.1)	90.7 (4.1)	86.5 (2.3)	87.3 (2.6)
Assessment data to support present level of performance	31.3 (3.4)	39.1 (4.0)	19.4 (5.2)	32.9 (6.6)	30.7 (3.2)	38.7 (4.0)
Date of the assessment of present level of performance	17.8 (2.5)	22.5 (3.1)	12.8 (3.0)	14.9 (5.2)	17.5 (2.4)	22.1 (3.0)
Nature of student's handicap	23.8 (4.2)	26.9 (4.6)	25.5 (6.7)	31.5 (6.9)	23.9 (4.1)	27.1 (4.5)
Student's strengths	22.7 (3.3)	23.1 (3.4)	20.0 (5.6)	18.0 (5.3)	22.6 (3.3)	22.8 (3.3)
Student's special interests	1.8 (0.9)	1.8 (1.2)	2.7 (2.0)	2.7 (2.0)	1.9 (0.9)	1.9 (1.2)
Student's school attendance record	1.6 (0.7)	4.0 (1.8)	0.9 (0.5)	8.9 (6.1)	1.6 (0.6)	4.3 (1.9)
Placement recommendations	61.0 (3.9)	62.9 (4.2)	67.4 (8.1)	73.9 (7.2)	61.3 (3.8)	63.5 (4.1)
Services (special and related) to be provided	70.8 (3.5)	76.5 (3.4)	79.8 (5.8)	89.1 (4.1)	71.2 (3.4)	77.1 (3.3)
Rationale for placement or services	18.7 (3.0)	20.0 (3.1)	16.7 (6.3)	24.2 (5.6)	18.6 (2.9)	20.2 (3.0)

- continued -

Table A.3 (continued)

	Regular School		Special School		Total	
Headings for:	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Personnel responsible for services	62.2 (4.3)	67.9 (4.0)	64.5 (8.0)	65.1 (6.7)	62.3 (4.3)	67.7 (4.0)
Date services to begin	80.4 (2.8)	85.9 (2.5)	80.7 (5.8)	86.6 (5.3)	80.5 (2.8)	85.9 (2.5)
Anticipated duration of services	71.9 (3.4)	75.0 (3.7)	76.2 (7.1)	91.4 (3.9)	72.1 (3.4)	75.8 (3.6)
Recommended extent of participation in regular program	63.9 (3.7)	74.8 (3.8)	64.4 (8.6)	74.0 (6.7)	63.9 (3.6)	74.7 (3.7)
Date of preparation of IEP	81.0 (2.8)	81.1 (2.8)	86.1 (4.3)	94.2 (2.6)	81.2 (2.7)	81.8 (2.7)
Participants in IEP process	78.2 (3.2)	84.6 (3.1)	82.0 (5.6)	90.8 (3.4)	78.4 (3.1)	84.9 (3.0)
Signatures of individuals approving the IEP	55.5 (3.8)	60.6 (4.2)	43.5 (6.5)	49.0 (7.7)	54.9 (3.7)	60.0 (4.1)
Titles of individuals approving the IEP	68.4 (3.7)	73.8 (3.6)	75.4 (5.3)	81.0 (5.9)	68.7 (3.6)	74.1 (3.5)
Parental approval	62.3 (3.3)	75.7 (3.4)	74.8 (4.8)	81.1 (4.8)	63.0 (3.2)	76.0 (3.3)
Annual goals	87.8 (2.3)	92.2 (2.1)	86.3 (4.2)	95.3 (2.6)	87.7 (2.3)	92.3 (2.0)
Priority listing of annual goals	18.7 (2.8)	16.5 (3.0)	15.1 (4.6)	11.6 (4.0)	18.5 (2.7)	16.3 (2.9)
Short-term objectives	82.4 (2.5)	91.3 (2.0)	86.9 (6.1)	90.9 (4.2)	82.6 (2.4)	91.3 (1.9)
Recommended instructional materials, resources, or techniques	63.0 (3.7)	60.1 (3.7)	66.2 (8.3)	47.0 (8.0)	63.2 (3.7)	59.4 (3.6)
Proposed evaluation criteria	43.9 (4.1)	54.8 (3.6)	35.4 (6.8)	38.7 (7.6)	43.5 (4.0)	54.0 (3.6)
Proposed evaluation procedure	36.0 (4.1)	36.0 (4.1)	41.4 (8.0)	36.1 (6.9)	36.3 (4.1)	36.0 (4.0)

- continued -

Table A.3 (continued)

Headings for:	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Proposed evaluation schedule	24.3 (3.3)	26.6 (3.7)	25.9 (5.7)	27.5 (7.6)	24.4 (3.2)	26.6 (3.7)
Proposed IEP review date	46.7 (4.1)	48.7 (4.2)	56.3 (8.0)	53.9 (7.0)	47.2 (4.0)	49.0 (4.2)
Annual IEP review date	9.3 (2.5)	11.1 (1.9)	5.4 (3.6)	2.8 (1.5)	9.1 (2.5)	10.6 (1.9)
Results of IEP review	6.2 (2.0)	10.9 (2.2)	1.7 (1.1)	3.1 (1.8)	6.0 (1.9)	10.5 (2.1)
Participants in IEP review	4.2 (1.1)	9.5 (2.0)	1.6 (1.1)	2.8 (1.5)	4.0 (1.1)	9.2 (1.9)
Other	22.9 (4.1)	38.7 (4.2)	33.9 (8.1)	39.3 (7.0)	23.4 (4.1)	38.7 (4.1)
Date short-term objectives met	24.9 (3.4)	24.6 (3.8)	43.9 (7.4)	32.9 (6.5)	25.8 (3.4)	25.0 (3.7)
Results of parent notification	11.5 (2.4)	9.0 (2.1)	16.1 (5.4)	18.7 (6.7)	11.7 (2.4)	9.5 (2.2)
Student's primary language	7.9 (3.1)	7.2 (3.6)	7.2 (4.5)	10.2 (5.0)	7.9 (3.2)	7.3 (3.6)
Physical education need	12.9 (2.5)	11.8 (2.5)	23.5 (7.4)	13.5 (5.0)	13.4 (2.5)	11.9 (2.4)
Modification of graduation standards	0.6 (0.4)	0.8 (0.6)	0.7 (0.7)	1.4 (1.4)	0.6 (0.5)	0.8 (0.6)

Table A.4

DISTRIBUTION OF IEPs THAT LIMITED THE SPACE FOR ANNUAL GOALS OR FOR SHORT-TERM OBJECTIVES, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS

(In percents, with standard errors noted in parentheses)

Formats That Limited The:	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Number of Annual Goals	65.5 (3.5)	67.4 (3.5)	61.3 (7.7)	65.1 (7.3)	65.2 (3.5)	67.3 (3.4)
Number of Short-Term Objectives	47.7 (3.6)	39.8 (3.8)	33.7 (7.4)	28.4 (7.0)	46.9 (3.5)	39.2 (3.7)

Table A.5

IEP FORMAT AS RELATED TO PARENTAL APPROVAL, FOR PRIOR AND CURRENT YEARS

(In percents, with standard errors noted in parentheses)

Format Classifications	Prior Year	Current Year
Approval (or disapproval) would have been for the entire IEP	45.4 (3.7)	46.4 (4.1)
Approval (or disapproval) would have been for annual goals but not for short-term objectives	6.5 (1.6)	11.5 (2.1)
Approval (or disapproval) would have been for part but not all of the short-term objectives	5.6 (2.0)	4.5 (1.2)
Approval (or disapproval) would have been for services to be provided but not for annual goals or short-term objectives	7.6 (1.8)	10.4 (2.6)
Approval (or disapproval) would have been for some portion of the IEP, but could not determine what would have been approved	2.4 (0.7)	1.7 (0.6)
No place for approval or disapproval was provided	32.4 (3.2)	25.4 (3.2)

Table A.6

DISTRIBUTION OF IEPs WITH INFORMATION MANDATED BY P.L. 94-142, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS

(In percents, with standard errors noted in parentheses)

Mandated Information Areas	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Statement of the present level of educational performance	88.0 (2.1)	88.0 (2.4)	86.1 (5.3)	85.6 (4.9)	87.9 (2.1)	87.9 (2.3)
Statement of annual goals	87.6 (2.3)	92.1 (2.1)	85.3 (4.3)	92.9 (3.3)	87.5 (2.3)	92.2 (2.0)
Short-term objectives	83.4 (2.4)	90.1 (2.0)	85.8 (6.2)	89.1 (4.8)	83.6 (2.3)	90.1 (1.9)
Statement of specific educational services to be provided	97.0 (1.1)	97.9 (1.0)	97.2 (2.2)	100.0 (0.0)	97.0 (1.0)	98.0 (1.0)
Statement of the extent to which child will be able to participate in regular educational programs	56.8 (3.5)	60.6 (3.3)	48.1 (6.1)	53.8 (6.7)	56.4 (3.5)	60.3 (3.2)
Projected date for initiation of specific services	99.0 (0.4)	99.7 (0.2)	98.9 (0.5)	98.0 (2.0)	99.0 (0.4)	99.6 (0.2)
Anticipated duration of specific services	91.4 (1.8)	94.7 (1.6)	93.1 (4.6)	93.3 (3.4)	91.5 (1.8)	94.6 (1.5)
Proposed evaluation criteria	55.8 (3.5)	64.7 (3.1)	64.5 (8.0)	51.7 (8.1)	56.3 (3.5)	64.0 (3.0)
Proposed evaluation procedures	83.1 (2.4)	90.1 (2.0)	85.8 (6.2)	89.1 (4.8)	83.2 (2.4)	90.1 (1.9)
Proposed schedules for determining whether instructional objectives are being met	79.1 (2.6)	87.2 (2.3)	83.6 (6.4)	85.3 (5.5)	79.3 (2.6)	87.1 (2.2)
Assurances of at least an annual evaluation	78.9 (2.6)	87.3 (2.3)	84.3 (6.2)	84.9 (5.6)	79.2 (2.6)	87.2 (2.2)

Table A.7

DISTRIBUTION OF IEPs BY NUMBER OF MANDATED AREAS FOR WHICH IEP CONTAINED INFORMATION, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS

(In percents, with standard errors noted in parentheses)

	Regular School		Special School		Total	
Number of Mandated Information Areas:	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
All eleven mandated areas	30.0 (3.1)	35.0 (3.0)	31.0 (6.8)	24.5 (5.8)	30.1 (3.0)	34.5 (2.9)
Ten mandated areas	29.4 (2.8)	33.6 (2.7)	28.4 (4.4)	40.7 (5.7)	29.3 (2.7)	34.0 (2.6)
Nine mandated areas	15.7 (2.1)	16.1 (2.5)	18.5 (4.0)	16.1 (4.7)	15.8 (2.0)	16.1 (2.4)
Eight mandated areas	3.9 (1.1)	3.3 (1.1)	4.4 (2.2)	1.9 (1.7)	4.0 (1.1)	3.2 (1.0)
Seven mandated areas	2.6 (0.9)	2.0 (1.0)	5.6 (3.2)	3.4 (2.4)	2.7 (0.9)	2.0 (1.0)
Six mandated areas	3.8 (1.0)	2.4 (0.7)	0.0 (0.0)	2.8 (1.5)	3.6 (0.9)	2.4 (0.7)
Five mandated areas	8.6 (2.0)	5.0 (1.4)	6.0 (3.9)	7.7 (1.4)	8.5 (1.9)	5.1 (1.4)
Four mandated areas	2.9 (0.9)	0.5 (0.2)	3.1 (2.2)	0.9 (0.9)	2.9 (0.9)	0.5 (0.2)
Three mandated areas	1.8 (0.8)	1.1 (0.5)	0.8 (0.6)	1.0 (1.0)	1.8 (0.8)	1.0 (0.5)
Two mandated areas	1.0 (0.5)	1.1 (0.8)	0.0 (0.0)	1.0 (1.0)	0.9 (0.5)	1.1 (0.8)
One mandated area	0.1 (0.1)	0.0 (0.0)	2.2 (2.2)	0.0 (0.0)	0.2 (0.1)	0.0 (0.0)

Table A.8

DISTRIBUTION OF IEPs BY DEGREE OF SPECIFICITY OF THE STATEMENT OF BEGINNING DATES OF SERVICE AS CONTAINED IN IEPs, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS

(In percents, with standard errors noted in parentheses)

Statement of Beginning Date of Service	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Was specifically stated	52.2 (4.0)	62.8 (3.8)	55.5 (8.3)	66.2 (7.1)	54.2 (3.9)	62.9 (3.7)
Could be inferred from dates given for goals or objectives	19.3 (2.4)	20.5 (2.8)	26.0 (6.5)	15.3 (3.7)	19.6 (2.4)	20.3 (2.7)
Had to be inferred from date IEP was prepared	25.5 (3.2)	16.5 (2.6)	17.5 (7.0)	16.4 (5.2)	25.1 (3.2)	16.5 (2.5)
There was insufficient information upon which to base an inference	1.0 (0.4)	0.3 (0.2)	1.1 (0.5)	2.0 (2.0)	1.0 (0.4)	0.4 (0.2)

Table A.9

DISTRIBUTION OF IEPs BY DEGREE OF SPECIFICITY OF THE STATEMENT OF THE EVALUATION PROCEDURE FOR THE SHORT-TERM OBJECTIVES, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS

(In percents, with standard errors noted in parentheses)

Statement of the Evaluation Schedule	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Procedure was clear from the short-term objectives	27.1 (3.0)	34.1 (3.3)	37.8 (6.4)	27.2 (6.7)	27.6 (2.9)	33.7 (3.2)
Procedure was a precise statement of how the evaluation should be conducted	4.0 (1.2)	7.1 (2.1)	9.3 (5.1)	7.8 (4.0)	4.3 (1.2)	7.1 (2.0)
Procedure had to be inferred from unclear statements or unclear short-term objectives	59.4 (3.5)	53.0 (3.3)	46.9 (7.0)	57.8 (7.9)	58.8 (3.4)	53.2 (3.2)
Procedure could not be inferred because it was not stated and IEP had no short-term objectives	9.5 (1.9)	5.9 (1.6)	5.9 (4.4)	7.2 (3.6)	9.3 (1.8)	5.9 (1.6)

Table A.10

DISTRIBUTION OF IEPs BY DEGREE OF SPECIFICITY OF STATEMENT OF THE EVALUATION SCHEDULE FOR EVALUATING SHORT-TERM OBJECTIVES, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS

(In percents, with standard errors noted in parentheses)

Statement Best Describing Evaluation Schedule	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Schedule was specifically stated as being the evaluation schedule	11.2 (2.5)	14.9 (3.0)	12.7 (3.7)	10.7 (4.3)	11.3 (2.5)	14.7 (2.9)
Schedule could be inferred from short-term-objectives	33.2 (2.9)	38.0 (3.6)	50.6 (7.5)	44.6 (7.6)	34.1 (2.9)	38.3 (3.5)
Schedule had to be inferred from the beginning-of-treatment and end-of-treatment dates	34.7 (2.8)	34.3 (3.2)	20.3 (4.9)	30.0 (7.6)	34.0 (2.7)	34.1 (3.2)
Schedule was neither stated nor implied	20.9 (2.6)	12.8 (2.3)	16.4 (6.4)	14.7 (5.5)	20.7 (2.6)	12.9 (2.2)

Table A.11

DISTRIBUTION OF IEPs BY DEGREE TO WHICH IEP INDICATED THAT AN ANNUAL EVALUATION OF SHORT-TERM OBJECTIVES WAS REQUIRED, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS

(In percents, with standard errors noted in parentheses)

Statement of Annual Evaluation of Short-Term Objectives	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
All of the short-term objectives appeared to require at least an annual evaluation	78.8 (2.7)	87.3 (2.3)	82.4 (6.4)	83.2 (5.6)	79.0 (2.6)	87.1 (2.1)
Some but not all of the short-term objectives appeared to require at least an annual evaluation	0.1 (0.1)	0.1 (0.1)	1.8 (1.4)	1.7 (1.2)	0.2 (0.2)	0.1 (0.1)
None of the short-term objectives required at least an annual evaluation	0.2 (0.0)	0.1 (0.1)	0.0 (0.0)	0.4 (0.4)	0.2 (0.0)	0.1 (0.1)
Such information was not given and could not be inferred	20.8 (2.6)	12.6 (2.3)	15.7 (6.2)	14.7 (5.5)	20.6 (2.6)	12.7 (2.2)

5

Table A.12

PROPORTION OF IEPs WITH HEADINGS CONTAINING INFORMATION, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS
(In percents, with standard errors noted in parentheses)

Data Entered Under Headings for:	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Student's age or birthdate	73.7 (3.3)	76.6 (2.8)	80.3 (5.5)	89.2 (3.5)	70.2 (3.2)	77.2 (2.7)
Student's grade level	54.2 (3.8)	55.7 (3.9)	42.7 (8.0)	53.4 (8.3)	53.6 (3.8)	55.6 (3.8)
Student's sex	13.6 (3.7)	13.7 (3.9)	13.5 (5.2)	17.8 (6.2)	13.6 (3.5)	13.9 (3.8)
Student's race	2.2 (1.0)	7.8 (3.1)	5.6 (3.6)	10.9 (3.9)	2.4 (1.1)	7.9 (3.1)
Assessment data to support present level of performance	26.5 (3.0)	31.5 (3.5)	16.9 (5.0)	21.6 (6.6)	26.0 (2.9)	31.0 (3.4)
Date of the assessment of present level of performance	15.5 (2.3)	19.2 (2.7)	10.2 (3.9)	8.5 (3.6)	15.3 (2.3)	18.7 (2.6)
Nature of student's handicap	22.5 (4.0)	26.1 (4.5)	23.1 (7.2)	30.3 (6.6)	22.5 (4.0)	26.3 (4.4)
Student's strengths	18.5 (2.7)	18.8 (2.8)	18.4 (5.4)	17.0 (5.1)	18.5 (2.7)	18.7 (2.7)
Student's special interests	0.8 (0.4)	1.3 (1.1)	2.1 (2.0)	2.7 (2.0)	0.9 (0.4)	1.4 (1.1)
Student's school attendance record	0.8 (0.3)	2.0 (0.8)	0.4 (0.4)	2.7 (2.6)	0.8 (0.3)	2.1 (0.8)
Placement recommendations	55.8 (4.0)	58.7 (4.3)	64.5 (7.8)	67.3 (7.7)	56.2 (3.9)	59.1 (4.2)
Services (special or related) to be provided	61.3 (4.1)	65.5 (4.0)	65.7 (7.3)	69.9 (6.1)	61.5 (4.0)	65.7 (3.9)
Rationale for placement or services	16.1 (4.3)	18.3 (4.0)	16.7 (8.0)	17.2 (7.3)	16.2 (4.2)	18.3 (3.9)
Personnel responsible for services	57.5 (4.3)	61.5 (4.0)	59.5 (8.0)	56.7 (7.3)	57.5 (4.1)	61.3 (3.9)

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Table A.12 (continued)

	Regular School		Special School		Total	
Headings for:	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Date of preparation of IEP	75.8 (3.0)	73.3 (2.9)	70.7 (5.4)	86.9 (4.8)	75.5 (2.9)	74.0 (2.8)
Participants in IEP process	72.3 (3.2)	81.3 (3.3)	80.1 (5.8)	84.2 (5.2)	72.7 (3.1)	81.4 (3.2)
Signatures of individuals approving the IEP	48.3 (3.7)	56.0 (4.4)	42.3 (6.7)	46.4 (8.2)	47.9 (3.7)	55.8 (4.3)
Titles of individuals approving the IEP	64.0 (3.7)	71.1 (3.7)	73.2 (5.5)	72.4 (6.6)	64.5 (3.6)	71.2 (3.6)
Parental approval	47.2 (3.5)	58.5 (3.3)	65.2 (6.2)	56.9 (7.3)	48.1 (3.4)	58.4 (3.3)
Priority listing of annual goals	17.4 (2.7)	15.2 (2.8)	13.2 (4.3)	10.8 (3.8)	17.2 (2.6)	15.0 (2.8)
Recommended instructional materials, resources, or techniques	55.2 (3.8)	54.6 (3.8)	53.3 (8.2)	40.7 (7.9)	55.1 (3.7)	53.9 (3.8)
Proposed IEP review date	35.5 (3.4)	35.2 (3.6)	48.6 (8.2)	42.8 (7.0)	36.2 (3.4)	35.6 (3.5)
Actual IEP review date	7.3 (2.1)	8.7 (1.6)	3.5 (2.1)	2.8 (1.5)	7.1 (2.0)	8.4 (1.6)
Results of IEP review	5.0 (1.5)	7.8 (1.8)	1.7 (1.1)	0.7 (0.5)	4.9 (1.5)	7.5 (1.7)
Participants in IEP review	4.0 (1.1)	5.7 (1.5)	1.6 (1.1)	2.8 (1.5)	3.8 (1.1)	5.6 (1.5)
Date short-term objectives met	15.3 (2.4)	12.0 (2.2)	29.7 (6.6)	20.2 (5.9)	16.1 (2.3)	12.4 (2.1)
Results of parent notification	10.0 (2.2)	8.2 (2.0)	13.9 (5.2)	14.2 (6.4)	10.2 (2.1)	8.5 (2.0)
Student's primary language	6.8 (2.5)	6.2 (3.1)	4.9 (3.0)	10.2 (5.0)	6.7 (2.5)	6.4 (3.1)
Physical education need	8.8 (2.2)	9.2 (1.9)	21.4 (7.2)	10.4 (4.3)	9.4 (2.2)	9.2 (1.9)
Modification of graduation standards	0.2 (0.2)	0.4 (0.3)	0.0 (0.0)	0.0 (0.0)	0.2 (0.2)	0.3 (0.3)

Table A.13

TYPES OF PERSONS WHO PARTICIPATED IN THE IEP PROCESS, BY REGULAR SCHOOL AND SPECIAL SCHOOL FOR PRIOR AND CURRENT YEAR

(In percents, with standard errors noted in parentheses)

Classification of Participants	Percent[a/] of IEPs with Persons Indicated as Being Participants, by Year and Type of School					
	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Category 1: Teachers and Therapists						
One or more regular classroom teachers	13.0 (2.4)	15.6 (2.0)	12.9 (5.7)	6.7 (2.8)	13.0 (2.3)	15.1 (1.9)
One special education teacher	25.1 (2.9)	31.2 (3.2)	14.5 (5.2)	11.7 (5.3)	24.6 (2.8)	30.3 (3.1)
Two or more special education teachers	3.7 (1.0)	6.0 (1.4)	3.0 (2.0)	1.2 (0.8)	3.7 (0.9)	5.7 (1.3)
Speech or language therapists	17.6 (2.5)	18.0 (2.4)	17.6 (5.4)	13.0 (4.2)	17.6 (2.4)	17.7 (2.2)
Physical or occupational therapist(s)	0.0 (0.0)	0.1 (0.1)	6.2 (2.6)	4.4 (2.5)	0.3 (3.1)	0.4 (0.2)
Other therapist(s)	0.5 (0.3)	1.1 (0.5)	1.7 (1.7)	1.1 (0.8)	0.6 (0.3)	1.1 (0.5)
Physical education teacher(s)	0.6 (0.3)	0.6 (0.6)	4.7 (4.6)	5.8 (3.2)	0.8 (0.5)	0.9 (0.6)
One of the above, but can't tell which	32.8 (3.2)	35.9 (3.7)	41.5 (7.4)	53.8 (6.4)	33.2 (3.1)	36.8 (3.6)
At least one of the above	67.5 (3.6)	76.1 (3.0)	67.6 (6.6)	72.9 (5.8)	67.5 (3.5)	76.0 (2.9)
Category 2: Administrative Representatives						
LEA Representative(s)	17.7 (2.6)	19.4 (2.9)	14.4 (5.0)	21.5 (5.9)	17.5 (2.5)	19.5 (2.8)
Principal or assistant principal(s)	28.6 (3.2)	36.2 (3.8)	37.5 (7.5)	34.8 (6.0)	29.1 (3.1)	36.1 (3.7)
School representative(s)	5.8 (1.5)	6.5 (2.2)	0.6 (0.6)	0.5 (0.4)	5.5 (1.5)	6.2 (2.1)
Case manager(s), chairperson	10.4 (2.3)	14.7 (3.0)	16.7 (5.0)	19.8 (5.6)	10.7 (2.2)	14.9 (3.0)
Supervisor	2.2 (0.9)	1.1 (0.6)	4.3 (2.5)	2.4 (1.8)	2.3 (0.9)	1.1 (0.6)
At least one of the above	50.7 (3.9)	58.5 (3.7)	58.8 (7.8)	58.4 (7.3)	51.1 (3.9)	58.5 (3.6)
Category 3: Ancillary Personnel						
School psychologist or psychometrist(s)	14.1 (2.6)	14.3 (2.9)	10.3 (4.0)	7.8 (4.3)	13.9 (2.5)	14.0 (2.9)
Counselor(s)	8.5 (1.8)	11.0 (1.9)	6.3 (3.7)	2.3 (1.4)	8.4 (1.7)	10.6 (1.8)
Social worker(s)	2.6 (0.8)	2.7 (0.8)	4.0 (2.6)	0.0 (0.0)	2.7 (0.8)	2.5 (0.7)
Nurse	5.9 (1.6)	6.3 (2.8)	9.7 (3.7)	7.5 (4.5)	6.1 (1.6)	6.4 (2.8)
At least one of the above	24.3 (3.2)	25.9 (3.6)	21.2 (4.5)	12.9 (5.0)	24.1 (3.0)	25.3 (3.5)

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Table A.13 (continued)

Classification of Participants	Percent[a] of IEPs with Persons Indicated as Being Participants, by Year and Type of School					
	Regular School		Special School		Total	
	Current Year	Prior Year	Current Year	Prior Year	Current Year	Prior Year
Category 4: Parents						
Parent(s), guardian(s), or surrogate(s)	52.4 (3.6)	63.8 (3.3)	69.8 (5.9)	63.9 (7.1)	53.2 (3.5)	63.8 (3.3)
Category 5: Student						
Student	1.0 (0.4)	2.4 (0.6)	1.5 (1.4)	1.0 (0.7)	1.0 (0.4)	2.3 (0.6)
Category 6: Could Not Classify and Other						
Could not classify[b]	14.8 (2.0)	16.3 (2.2)	14.1 (4.5)	16.3 (4.8)	14.7 (2.0)	16.3 (2.1)
Other	7.2 (1.9)	12.8 (2.5)	5.6 (2.2)	9.3 (3.2)	7.1 (1.8)	12.6 (2.4)
At least one of the above	21.1 (2.5)	27.4 (2.6)	18.1 (4.9)	22.5 (5.3)	20.9 (2.5)	27.1 (2.6)
Category 7: Mandated Personnel						
IEPs with at least one person from each of categories 1, 2, and 4	29.0 (3.3)	37.5 (3.2)	33.8 (6.9)	35.0 (6.4)	29.2 (3.3)	37.3 (3.1)
Category 8: Categories 1 and 2						
IEPs with at least one person from each of categories 1 and 2	41.8 (3.9)	50.0 (3.6)	43.4 (7.7)	48.4 (6.9)	41.9 (3.8)	49.9 (3.4)

[a] Based on the column estimated total number of students with IEPs, adjusted for nonresponse.

[b] Personnel listed in IEPs that did not note the title or position of the participant or signer could not be classified.

Table A.14

TYPES OF PERSONS WHO SIGNED IEPs, BY REGULAR SCHOOL AND SPECIAL SCHOOL FOR PRIOR AND CURRENT YEAR
(In percents, with standard errors noted in parentheses)

Classification of Participants	Percent[a] of IEPs with Persons Indicated as Being Participants, by Year and Type of School					
	Regular School		Special School		Total	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
Category 1: Teachers and Therapists						
One or more regular classroom teachers	7.5 (1.8)	11.7 (2.1)	12.4 (5.6)	6.2 (2.9)	7.7 (1.8)	11.5 (2.0)
One special education teacher	19.8 (2.8)	25.0 (3.2)	12.0 (5.0)	11.0 (5.2)	19.4 (2.7)	24.3 (3.2)
Two or more special education teachers	2.8 (0.8)	4.2 (1.3)	2.0 (1.6)	0.5 (0.6)	2.8 (0.8)	4.0 (1.2)
Speech or language therapists	12.6 (2.2)	12.8 (2.0)	12.5 (5.1)	10.5 (3.9)	12.6 (2.1)	12.7 (1.9)
Physical or occupational therapist(s)	0.0 (0.0)	0.1 (0.1)	2.3 (1.8)	3.6 (2.3)	0.1 (0.1)	0.3 (0.2)
Other therapist(s)	0.3 (0.3)	1.1 (0.5)	1.7 (1.9)	1.1 (0.8)	0.4 (0.3)	1.1 (0.5)
Physical education teacher(s)	0.1 (0.1)	0.6 (0.6)	4.7 (4.6)	5.6 (3.2)	0.4 (0.3)	0.8 (0.6)
One of the above, but can't tell which	24.2 (2.9)	25.4 (3.2)	25.7 (6.1)	39.9 (5.5)	24.2 (2.8)	26.1 (3.1)
At least one of the above	49.5 (3.6)	58.6 (4.0)	48.6 (6.7)	57.1 (6.1)	49.5 (3.6)	58.5 (3.9)
Category 2: Administrative Representatives						
LEA Representative(s)	15.7 (2.4)	17.4 (3.1)	12.2 (4.8)	18.9 (6.7)	15.5 (2.3)	17.5 (3.0)
Principal or assistant principal(s)	21.2 (2.9)	29.1 (4.0)	25.5 (5.9)	31.4 (6.0)	21.4 (2.8)	29.2 (3.9)
School representative(s)	3.9 (1.3)	6.3 (2.2)	0.0 (0.0)	0.0 (0.0)	3.7 (1.2)	6.0 (2.1)
Case manager(s), chairperson	7.4 (1.8)	11.6 (2.7)	13.8 (4.8)	14.8 (4.9)	7.8 (1.7)	11.8 (2.7)
Supervisor	0.6 (0.4)	0.6 (0.4)	4.3 (2.5)	2.4 (1.8)	0.8 (0.4)	0.7 (0.4)
At least one of the above	38.3 (3.4)	49.6 (4.2)	44.7 (7.9)	53.5 (7.8)	38.6 (3.4)	49.8 (4.0)
Category 3: Ancillary Personnel						
School psychologist or psychometrist(s)	11.2 (2.5)	12.0 (3.0)	6.9 (3.5)	7.6 (4.3)	11.0 (2.5)	11.8 (3.0)
Counselor(s)	6.2 (1.7)	7.4 (1.6)	5.1 (3.4)	0.8 (0.8)	6.1 (1.6)	7.1 (1.5)
Social worker(s)	1.8 (0.7)	1.9 (0.7)	2.5 (2.4)	0.0 (0.0)	1.9 (0.7)	1.8 (0.6)
Nurse	5.1 (1.6)	6.1 (2.8)	8.2 (3.5)	7.5 (4.5)	5.3 (1.6)	6.2 (2.8)
At least one of the above	19.0 (3.2)	20.4 (3.6)	16.6 (4.0)	11.9 (4.9)	18.8 (3.1)	20.0 (3.6)

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Table A.14 (continued)

Classification of Participants	Percent[a] of IEPs with Persons Indicated As Being Participants, by Year and Type of School					
	Regular School		Special School		Total	
	Current Year	Prior Year	Current Year	Prior Year	Current Year	Prior Year
Category 4: Parents						
Parent(s), guardian(s), or surrogate(s)	44.6 (3.5)	57.8 (3.5)	64.8 (6.1)	60.6 (7.2)	45.6 (3.4)	57.9 (3.4)
Category 5: Student						
Student	0.9 (0.4)	2.0 (0.6)	0.0 (0.0)	0.5 (0.6)	0.9 (0.4)	1.9 (0.5)
Category 6: Could Not Classify and Other						
Could not classify[b]	10.1 (1.7)	13.1 (2.0)	10.1 (3.8)	15.3 (4.8)	10.1 (1.7)	13.2 (2.0)
Other	5.7 (1.8)	10.0 (2.3)	4.8 (2.1)	6.3 (2.6)	5.6 (1.7)	9.8 (2.2)
At least one of the above	14.9 (2.3)	21.5 (2.7)	14.2 (4.2)	18.4 (5.2)	14.8 (2.3)	21.3 (2.6)
Category 7: Mandated Personnel						
IEPs with at least one person from each of categories 1, 2, and 4	19.2 (2.7)	27.9 (3.6)	24.8 (6.8)	24.5 (5.4)	19.5 (2.6)	27.8 (3.5)
Category 8: Categories 1 and 2						
IEPs with at least one person from each of categories 1 and 2	27.7 (3.1)	39.3 (4.2)	30.0 (7.5)	35.6 (6.7)	27.8 (3.1)	39.1 (4.1)

[a] Based on the column estimated total number of students with IEPs, adjusted for nonresponse.

[b] Personnel listed in IEPs that did not note the title or position of the participant or signer could not be classified.

Table A.15

DISTRIBUTION OF IEPs CONTAINING VARIOUS COMBINATIONS OF NEED STATEMENTS, GOALS, AND OBJECTIVES IN SELECTED ACADEMIC AND FUNCTIONAL AREAS, BY REGULAR AND SPECIAL SCHOOLS FOR PRIOR AND CURRENT YEARS

(In percents, with standard errors noted in parentheses)

Academic or Functional Areas	Combinations[a/]							
	Needs, Goals, and Objectives		Needs and Goals Only		Needs and Objectives Only		Needs Only	
	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
1. Reading or oral or written English	50.0 (3.6)	61.7 (3.3)	11.2 (2.1)	5.6 (1.4)	7.0 (1.4)	5.1 (1.2)	7.7 (1.6)	6.7 (1.2)
2. Mathematics	44.9 (3.4)	50.7 (3.3)	9.3 (1.7)	6.3 (1.3)	9.4 (1.9)	7.0 (1.5)	13.5 (2.0)	12.7 (1.9)
3. Social adaptation	16.0 (2.8)	18.0 (3.1)	11.0 (2.4)	10.1 (2.1)	7.5 (1.7)	2.3 (1.0)*	30.2 (3.2)	24.3 (3.5)
4. Self-help skills	24.5 (6.9)	14.1 (4.2)*	17.3(11.3)*	1.2 (0.6)*	5.9 (3.3)*	2.4 (1.8)*	23.2 (8.1)	32.1 (6.9)
5. Physical education	20.8 (9.8)*	15.2 (5.4)*	0.0 (0.0)*	9.0 (6.5)*	0.3 (0.3)*	2.6 (2.0)*	3.5 (3.3)*	6.3 (4.3)*
6. Motor skills	25.1 (5.1)	20.6 (3.7)	6.7 (2.5)*	9.3 (3.5)*	7.0 (2.1)*	8.9 (2.7)*	22.7 (4.0)	29.0 (6.0)
7. Speech	47.3 (5.2)	45.0 (4.6)	8.5 (2.5)*	6.3 (1.9)*	3.7 (1.9)*	8.2 (3.0)*	17.1 (3.9)	17.6 (3.7)
8. Visual acuity	12.7 (3.4)*	14.8 (4.9)*	8.1 (2.3)*	6.6 (5.0)*	8.5 (3.1)*	6.8 (2.7)*	40.8 (6.3)	43.6 (6.6)
9. Hearing	11.8 (3.7)*	12.0 (3.6)*	8.8 (2.4)*	13.4 (5.9)*	6.0 (2.5)*	7.2 (2.8)*	27.8 (4.7)	39.3 (6.1)
10. Vocational/ prevocational	14.1 (3.6)*	11.4 (3.6)*	8.6 (3.0)*	2.5 (1.4)*	2.8 (1.7)*	1.9 (1.0)*	12.6 (6.1)*	14.9 (3.8)

- continued -

Table A.15 (continued)

	Combinations[a]							
	Goals and Objectives Only		Goals Only		Objectives Only		Total	
Academic or Functional Areas	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
1. Reading or oral or written English	12.9 (2.5)	15.9 (2.6)	5.7 (1.7)	1.3 (0.4)*	5.4 (1.3)	3.7 (0.9)*	100.0	100.0
2. Mathematics	14.2 (2.2)	14.4 (2.5)	3.2 (1.3)*	3.6 (1.2)*	5.4 (1.3)	5.3 (1.4)	100.0	100.0
3. Social adaptation	14.7 (2.8)	25.2 (3.7)	11.0 (2.0)	9.1 (2.3)	9.6 (2.4)	11.0 (2.6)	100.0	100.0
4. Self-help skills	8.8 (3.9)*	16.4 (5.0)*	9.7 (6.7)*	12.2 (5.8)*	10.6 (3.6)*	21.7 (5.5)	100.0	100.0
5. Physical education	13.2 (5.0)*	22.5 (8.4)*	21.5 (7.1)*	15.9 (7.2)*	40.6(10.7)	28.5 (7.2)*	100.0	100.0
6. Motor skills	14.1 (3.5)	12.3 (3.2)*	9.4 (1.8)*	8.1 (2.1)*	15.0 (3.9)	11.7 (3.3)*	100.0	100.0
7. Speech	9.4 (2.9)*	14.8 (3.8)	4.7 (1.9)*	3.4 (1.7)*	9.3 (2.6)*	4.8 (1.2)*	100.0	100.0
8. Visual acuity	5.1 (2.4)*	15.9 (5.0)*	17.1 (5.6)*	7.9 (3.3)*	7.7 (2.8)*	4.4 (2.1)*	100.0	100.0
9. Hearing	15.8 (4.4)*	8.1 (3.8)*	14.7 (4.3)*	8.1 (2.7)*	15.0 (3.8)*	11.8 (3.6)*	100.0	100.0
10. Vocational/ prevocational	21.6 (4.9)	36.9 (4.9)	20.4 (6.2)	18.0 (4.2)	19.9 (6.1)	14.5 (3.5)	100.0	100.0

* Cell has an estimated sample size of less than 25.

[a] Percents for each academic/functional area are based on the estimated number of IEPs with at least one of the three information items in that area (i.e., a need, goal, or objective).

Additional Information Related to Change from Prior to Current Year in Informativeness and Internal Consistency of IEPs

As was discussed in detail in Volume III, an exploratory investigation was undertaken to answer the research question regarding the informativeness and internal consistency of IEPs by viewing the IEPs from a global perspective. The particular focus was on the extent to which IEPs (a) communicated to teachers, parents, administrators, and other concerned personnel the pertinent details of the special education and related services to be provided, and (b) presented an interally consistent program for meeting the handicapped student's unique needs. The approach taken to accomplish the above was to establish four categories or levels of IEPs, each of which represents a reasonably distinct level of informativeness and internal consistency.

Following is a brief description of the four levels. (See Volume III, Chapter 7 for a complete description.)

a) A Level 1 IEP was defined as an incomplete information document. Its distinguishing feature was that, even when the most generous assumptions were made, all of the more essential information (e.g., an indication of an educational need, an annual goal, a short-term objective) mandated by Section 602 of the Education for all Handicapped Children Act of 1975 (P.L. 94-142) were not included.

b) A Level 2 IEP was defined as a minimally informative document. Its distinguishing feature was that, when quite generous assumptions were made, it did include the more essential information mandated by the Act. However, a Level 2 IEP (1) contained little if any pertinent data that are not specifically mandated, (2) only marginally presented the mandated data, and (3) may or may not have been internally consistent.

c) A Level 3 IEP was defined as an informative and internally consistent document. Its distinguishing features were that it (1) required fewer assumptions to be made regarding the inclusion of the data mandated by Section 602 of the Act, (2) contained a limited amount of critical but not mandated information, and (3) maintained some degree of internal consistency in that it included at least one instance of a short-term objective that related to an annual goal that related to an area of indicated need.

d) A Level 4 IEP was defined as an exceptionally informative and internally consistent document. It exceeded a Level 3 IEP in that it (1) contained additional critical but not mandated information, (2) maintained a higher level of internal consistency, and (3) contained a larger number of and more complete short-term objectives.

The distribution of IEPs, for the prior year and the current year, over the four informativeness/internal consistency levels was as portrayed in Figure A.1. A distinct improvement in IEPs was noted in that the proportion of Level 3 IEPs increased by 11 percent while the combined percents of Level 1 and Level 2 IEPs decreased by about the same amount. While this improvement was noted in both regular school and special education school IEPs, the change in special school IEPs was not sufficiently large to be statistically significant. As is shown by the figure, no particular change occurred in the proportions of Level 4 IEPs.

Two types of general improvements were noted in IEPs from the prior year to the current year. First, there was an improvement in the inclusion of information mandated by the Act (e.g., present-level-of-performance information, annual goals, short-term objectives, beginning date and duration of service). Second, there was an improvement in one measure of internal consistency; that is, a larger proportion of IEPs included at least one instance of a short-term objective that related to an annual goal that related to an area of indicated need.

One implication of the indicated change is that, while an increased effort appeared to have been made to meet the requirements of the Act, no strong tendency appeared for exceeding the requirements of the Act by including educationally important but not mandated information. This is indicated by the lack of change in the proportions of Level 4 IEPs.

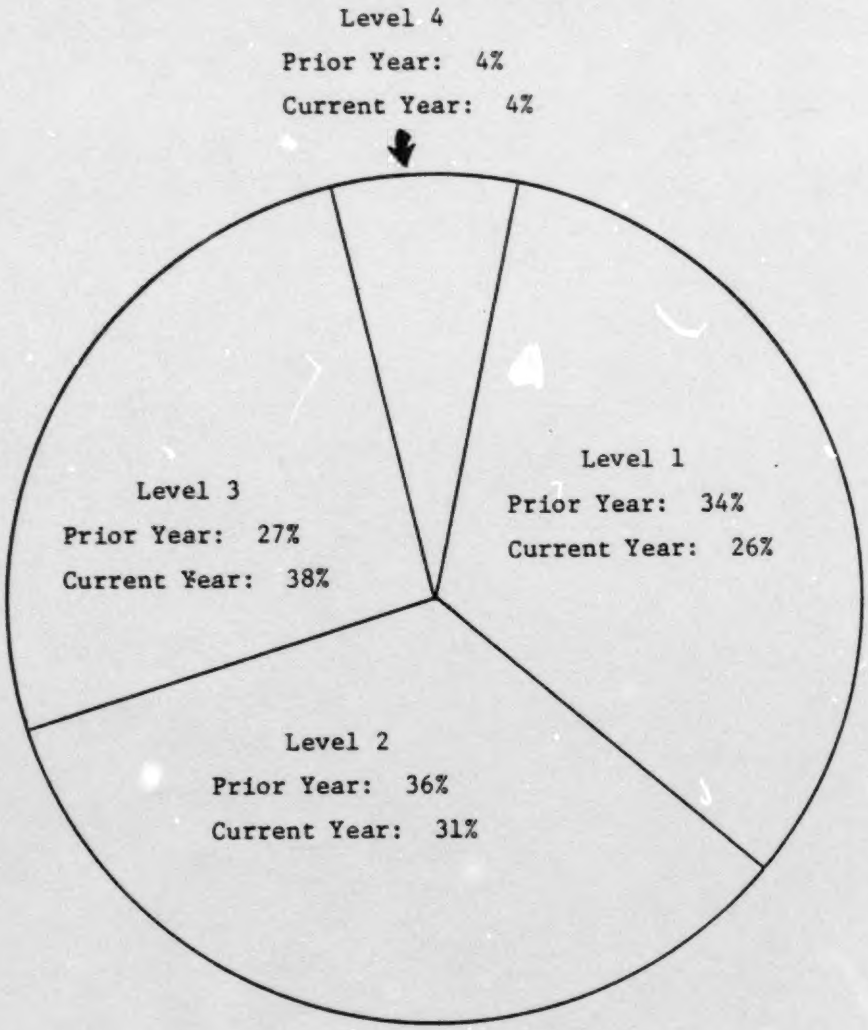

Figure A.1. Distribution of IEPs Over the Four Levels.[a],[b]

[a] See Table A.16 for standard errors.

[b] Numbers do not equal 100 percent because of rounding.

Table A.16

DISTRIBUTION OF IEPs BY INFORMATIVENESS/INTERNAL CONSISTENCY LEVEL, BY REGULAR AND SPECIAL SCHOOL FOR PRIOR YEAR AND CURRENT YEAR

(In percents, with standard errors noted in parentheses)

	Regular School		Special School		Total	
Level	Prior Year	Current Year	Prior Year	Current Year	Prior Year	Current Year
1	33.9 (3.2)	26.4 (3.1)	32.0 (6.8)	27.1 (6.6)	33.8 (3.1)	26.4 (2.9)
2	36.5 (2.7)	31.8 (2.9)	24.9 (6.2)	25.0 (5.6)	35.9 (2.7)	31.4 (2.7)
3	26.2 (2.4)	37.5 (3.1)	37.5 (7.8)	44.5 (7.1)	26.8 (2.4)	37.8 (3.0)
4	3.4 (1.0)*	4.3 (1.3)*	5.6 (3.1)*	3.4 (2.1)*	3.5 (1.0)	4.3 (1.3)*

* Cell has sample size of less than 25.

Appendix B

Level 2 Substudy Protocol

Appendix B

Level 2 Substudy Protocol

Following is the sequence of actions to be taken during each LEA site visit by personnel responsible for collecting data for the Level 2 Retrospective Longitudinal Substudy.

1) Make prior contact (or verify that contact has been made) with selected states, districts, and schools in accordance with the procedures established for the Basic Survey.
2) Meet with the school district director of special education and distribute the School District Characteristics Questionnaire. Collect and scan-edit questionnaire before leaving district. NOTE: Prior to conducting the interviews noted in this activity and in Activities 3-7 below, read the following to the interviewee:

> This study is authorized by law. Although you are not required to respond, your cooperation is needed to make this study comprehensive, accurate, and timely. (20 U.S.C. 1401)

Interview district special education coordinator. Secure school district information regarding the following for the current year and, insofar as practical, for the previous year.

a) The procedure by which a student typically is identified as handicapped.
b) How IEPs typically are developed, reviewed, and revised.
c) What role the parent and student typically play in the IEP process.
d) The relationship between resources available for providing special education to handicapped children and resources needed for providing such services (or what, if any, services are needed but are not available).

Following are questions that might be asked to elicit the above information. These questions should, where appropriate, be asked for both the current and the previous year. Note that for this

   - d) Photocopy IEPs.
   - e) Remove personally identifying information from IEPs.
   - f) Collect and scan-edit questionnaires.
   - g) Ship collected materials to RTI.

4) Review Level 2 sample student's IEPs (for the two-year period) and all other data in the student's file related to determination of present level of educational performance and development and implementation of the IEP.

5) Interview sample student's teacher or teachers. Secure information regarding the following for the current year and, insofar as practical, for the previous year.
   - a) Special education and related services that the student actually is/has been receiving.
   - b) Tangible evidence (e.g., student's classroom folder, classroom activity sheets, classroom charts or bulletin board, classroom materials, and other resources) of activities in which the student likely is involved.
   - c) The teacher's perception of any differences between services specified in the student's IEPs and services the student actually is/has been receiving, and reasons for any differences.

While the interview should be only loosely structured, the following questions are appropriate. During the interviews, every effort must be made by the interviewers to be unobtrusive, temperate, and cooperative, particularly when addressing the issue of differences between requirements listed on the IEP and services actually provided.
   - a) What special education services does this student receive? When? Where? From whom?
   - b) What strategies or methods are being used to meet the annual goals and short-term objectives listed on the IEP?
   - c) Is it practical to visit the student's classroom (where special education services are delivered)?
   - d) Is it practical to see examples of the student's work toward meeting the annual goals and short-term objectives? To see classroom records, materials, etc., that indicate what progress the student is making and what resources are available to him or her?

interview and all of the following interviews with other personnel, the questions listed are intended only as general indications of types of questions that might be asked to elicit the required information. The specific questions to be asked will vary considerably depending upon the particular circumstances involved.

a) What is the procedure by which a student typically is identified as handicapped?

b) In approximately what proportion of the cases is this procedure followed?

c) If the typical procedure is used less than 90 percent of the time, what alternative procedures are used?

d) If the typical procedure is used less than 90 percent of the time, what determines that an alternative procedure be used?

e) Typically, how are IEPs developed, reviewed, nd revised? (e.g., Is an IEP developed by a committee or developed by a teacher and reviewed by a committee? Does the committee sit together as a committee to review an IEP or does each committee member review it independently? Are IEPs revised more often than annually and, if so, what is the mechanism for revision?)

f) What proportion of handicapped students' parents assist in the development of the students' IEP?

g) What proportion of IEPs receive parental approval? What methods, with what frequency, are used to obtain approval?

h) What proportion of handicapped students participate in the IEP developmental process? What is the nature of their participation?

i) What, if any, services for handicapped children are needed but not available?

3) At each sample school in the district, collect data for the Basic Study and for Level 1 of the Retrospective Longitudinal Substudy following the procedures established for those studies. This includes the following activities:

a) Meet with school principal and distribute the School Characteristics Questionnaire.

b) Select student sample.

c) Collect IEPs and distribute the Student Characteristics Questionnaire.

e) Do the special education services received by the student differ from those listed on the IEP?

f) If so, what are the reasons for the difference?

g) Who developed the student's IEP?

h) How familiar are the student's parents with the student's IEP and special education program?

The teacher interview should be conducted in sufficient depth, and sufficient notes should be taken, to permit the interviewer to document, as soon after the interview as practical, the 32 items of information listed on the following data record forms (Exhibit B.1). Pertinent information from the student's file (from Activity 3 above) also should be used to complete the items. Note that Items 2-14 and 16-21 refer to the student's actual special education program, not to the student's IEP.

6) Interview, as appropriate, the school principal, other school personnel, and/or members of the committee that developed the student's IEP. Secure from the principal any general information regarding the IEP process and resource availability that was not or could not be obtained at the district level. Also, from the principal and/or other school or committee personnel, obtain any required information that could not be obtained from the student's teacher(s) regarding reasons for any difference between the IEP and services actually provided.

7) Interview student's parents or guardian. Wherever practical, to minimize inconvenience to the parents, conduct the parent interviews by telephone. Explain the purpose of the survey, confidentiality of data, etc., to parent. Secure information regarding the following for the current year and, insofar as practical, for the previous year. (Prior to interviewing parents, the interviewer will have determined from school personnel whether or not the child's parents are conversant in English and will have made appropriate arrangements for conducting the interview.)

   a) Nature of parental participation in the IEP process.

   b) Degree that parent is knowledgeable regarding the content of the IEP. If the parent is not fluent in English, what assistance was provided to insure that the parent understood the IEP and his/her rights under the law.

Exhibit B.1

LEVEL 2 SUBSTUDY DATA RECORD FORM

DATA REGARDING SPECIAL EDUCATION SERVICES PROVIDED
(For Current School Year)

Student I.D. __________

1. IEP was developed by:

   a. Teacher who provides the educational service.
   b. Committee.

   If "b," committee personnel and extent of inputs to IEP:

	Personnel	Percent of Input
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
		100%

The Student's Present Level of Educational Performance

2. Name, or one sentence descriptor of each major test, instrument, observation, or examination	3. Approximate date administered (If multiple dates, list latest date prior to development of current IEP)	4. Significant evaluation results

Specific Special Education Services to be Provided to the Student, and Extent of Participation in Regular Program. Projected Date of Initiation and Anticipated Duration of Service.

5. Title(s) and 1-2 sentence descriptor(s) of each placement and any other services including "related services."	6. Date of Initiation of Service	7. Anticipated Duration of Service	8. Extent of Participation (in hours per day and days per week)

9. Amount of time student is assigned to regular education program (in hours per week).

__________ hours per week

Exhibit B.1 (continued)

	Short-Term Objectives			
10.	11.	12.	13.	14.
Annual goals for the student	The nature of the instructional plan actually used to meet the annual goals (e.g., does teacher use a standardized lesson plan, his/her own documented lesson plan, informal notes, the short-term objectives in the IEP, teaching steps that are committed to memory? If other than or in addition to the IEP, is the actual plan more detailed or less detailed than that indicated by the short-term objectives in the IEP?)	Proportion of short-term objectives for which specific evaluation criteria exists	Proportion of short-term objectives for which evaluation procedures exist	When short-term objectives are (will be) evaluated

15. Summary of statements and opinions regarding reasons for any differences between IEP and actual program.

Exhibit B.1 (continued)

DATA REGARDING SPECIAL EDUCATION SERVICES PROVIDED
(For Prior School Year)

Student I.D. __________

16-19. Specific Special Education Services Provided to the Student, and Extent of Participation in Regular Program. Date of Initiation and Duration of Service

16.	17.	18.	19.
Title(s) and 1-2 sentence descriptor(s) of each placement and any other services including "related services."	Date of Initiation of Service	Duration of Service	Extent of Participation (in hours per day and days per week)

20. Amount of time student was assigned to regular education program (in hours per week).

__________ hours per week

21. Annual goals for the student.

22. Summary of statements and opinions regarding reasons for any differences between IEP and actual program.

Exhibit B.1 (continued)

DATA REGARDING PARENTAL FAMILIARITY WITH THEIR CHILD'S IEP AND SPECIAL EDUCATION PROGRAM
(From Teacher)

23. Is parent sufficiently conversant in English to understand their child's IEP?

Yes _____ No _____

24. If "no," what steps have been taken to assist parents in understanding the IEP?

25. Is parent aware child is classed as handicapped?

Yes _____ No _____ Don't know _____

26. Is parent aware that child has an IEP?

Yes _____ No _____ Don't know _____

27. If "yes," is parent familiar with the content of their child's IEP?

a. Yes, thoroughly familiar with content.
b. Yes, somewhat familiar with content.
c. Is only vaguely familiar with content.
d. Is not at all familiar with content.

28. To what extent does parent agree that their child's IEP is appropriate?

a. Completely agrees with IEP.
b. Agrees with most of IEP.
c. Agrees with a small part of IEP.
d. Completely disagrees with IEP.

29. If "a," "b," or "c," what is the nature of the disagreement?

30. Does parent consider that child is receiving services specified in IEP?

Yes _____ No _____ Doesn't know _____

31. If "no," what services does parent think are not being provided?

32. Summary of any additional information regarding parental perceptions of the child's IEP, services received, or the IEP process:

c) Degree that parent approves of the IEP.

d) The parent's perceptions of and degree of satisfaction with services actually being provided.

While the interview should be only loosely structured, the following questions are appropriate.

a) Are you aware that you child is considered by the school to be handicapped?

b) Are you aware that your child has an individualized education program?

c) If yes, are you familiar with the content of the IEP for your child? What assistance was provided to help you understand the content and intended use of the IEP?

d) If yes, in general terms, what do you see the IEP as consisting of (i.e., what services does the IEP say will be provided to your child? When? Where? How? By whom?)

e) To what extent do you agree with your child's IEP (e.g., do you:

    (1) Completely disagree with the IEP?
    (2) Agree with a small part of the IEP?
    (3) Agree with most of the IEP?
    (4) Completely agree with the IEP?

f) What role did you play in developing and/or approving the IEP? (e.g., Did you participate in the planning meeting? Review the IEP with a school committee? Review the IEP with a teacher or counselor? Sign the IEP as an indication of your approval?)

g) What special education services is your child actually receiving?

h) How satisfied are you with the special services that are being provided?

As soon after the interview as practical, or during the interview if conducted by telephone, document the ten items of information listed on the Parent Interview Summary (Exhibit B.2).

8) Prepare a narrative summary of any site-visit data, impressions, or opinions not already documented on the forms presented above. In particular, include results of the LEA-level interview(s) in this narrative summary.

Exhibit B.2

LEVEL 2 SUBSTUDY PARENT INTERVIEW SUMMARY

PARENT INTERVIEW SUMMARY
(From Parent)

1. Is parent sufficiently conversant in English to understand their child's IEP?

   Yes _____ No _____

2. If "no," what steps have been taken to assist parents in understanding the IEP?

3. Is parent aware child is classed as handicapped?

   Yes _____ No _____ Could not determine _____

4. Is parent aware that child has an IEP?

   Yes _____ No _____

5. If "yes," is parent familiar with the content of their child's IEP?

   a. Yes, thoroughly familiar with content.
   b. Yes, somewhat familiar with content.
   c. Is only vaguely familiar with content.
   d. Is not at all familiar with content.

6. To what extent does parent agree that their child's IEP is appropriate?

   a. Completely agrees with IEP.
   b. Agrees with most of IEP.
   c. Agrees with a small part of IEP.
   d. Completely disagrees with IEP.

7. If "a," "b," or "c," what is the nature of the disagreement?

8. Does parent consider that child is receiving services specified in IEP?

   Yes _____ No _____ Doesn't know _____

9. If "no," what services does parent think are not being provided?

10. Summary of any additional parent information regarding their child's IEP, services received, or the IEP process: